

## REPORTS ANALYSIS REFERRAL

DATE: November 4, 2002

ANALYST: Jennifer Pittman

I. COMMITTEE: Thomas Ariola, Treasurer<sup>1</sup>  
Giordano For United States Senate (C00353862)  
C/O Timothy Moynahan  
PO Box 2242  
Waterbury, CT 06722

II. RELEVANT STATUTE: 11 CFR §114.2 (b)  
2 U.S.C. 441b (a)  
11CFR §110.1  
2 U.S.C. 441a (f)  
11 CFR §104.8  
2 U.S.C. 434 (b) (3) (E)  
11 C.F.R. §100.12 & 104.7 (b)  
2 U.S.C. 434 (b) (3) (A)

### III. BACKGROUND:

#### A. Receipt of Excessive/Prohibited Contributions.

The Giordano for United States Senate Committee ("the Committee") received apparent excessive and prohibited contributions totaling \$182,250.

Presented below is a summary of the excessive and prohibited contributions received, the notices sent and the responses received. A chart is also provided

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<sup>1</sup> During the 1999-2000 election cycle there were two other treasurers for the Giordano For United States Senate Committee, Michael Blumenthal and James Paolino. The treasurer for the Committee from inception through 03/17/00 was James Paolino. Michael Blumenthal was the treasurer 03/17/00 through 12/8/01. During this time Thomas Ariola, Jr. was named as the Deputy Treasurer along with James Paolino. James Paolino filed a letter to the Commission on February 15, 2001 naming Thomas Ariola as the new treasurer of the Committee. Mr. Ariola signed all subsequent reports as Deputy Treasurer.

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listing all excessive and prohibited contributions received by the committee (Attachment # 2 ). The Summary is divided into two sections (1 & 2). Section 1 details the communications regarding the apparent excessive contributions from the candidate's spouse and father-in-law. Section 2 details the communication regarding all other excessive and prohibited contributions.

### SECTION 1.

On April 19, 2000, the Committee filed a 2000 April Quarterly Report disclosing a loan from Patriot National Bank in the amount of \$200,000 (Attachment # 3) with an incurred date of February 25, 2000. The Schedule C-1 included with this report showed the collateral for this loan as cash on deposit, as well as future contributions to be received. The Schedule C for this report also disclosed a Mr. Salvatore Trovato as the co-endorser/guarantor for the loan. Mr. Trovato is the candidate's father-in-law.

On July 10, 2000, the Committee filed a 2000 July Quarterly Report. Schedule C of the report disclosed the \$200,000 loan from Patriot National Bank. However, neither the candidate, Mr. Giordano, nor the candidate's father-in-law, Mr. Trovato were reported as being the guarantors for the loan as was previously reported on the 2000 April Quarterly Report. The Schedule C-1 included with this report was blank (Attachment # 4).

On July 17, 2000, the Committee filed an Amended 2000 July Quarterly Report, dated July 14, 2000, amending the information pertaining to the loan from Patriot National Bank. The amendment disclosed a new loan of \$300,000 with an incurred date of 7/14/00. A Schedule C, Schedule C-1 and a copy of the loan agreement were provided. The amendment also disclosed that the \$300,000 loan was guaranteed by both the candidate and his spouse, Dawn Ann Giordano (Attachment # 5). The Schedule C-1 and loan agreement included with this report showed the collateral to be a \$300,000 certificate of deposit solely in the name of the candidate's spouse, Dawn Giordano. The report provided no documentation regarding the \$200,000 loan disclosed on the previous report.

On August 30, 2000 the Committee filed a second Amended 2000 July Quarterly Report, dated August 21, 2000. The amended report included a cover letter, a revised Schedule C-1 and a revised copy of the complete loan agreement with Patriot National Bank for the \$300,000 loan (Attachment # 6). The documents showed the collateral for the loan to be split between 1) the Committee's cash on hand, 2) the candidate's one-half (1/2) interest in real estate owned by him and his spouse, and 3) the candidate's one-half (1/2) interest of a certificate of deposit in the amount of \$300,000. According to the letter

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accompanying this report, the certificate of deposit was a gift to both the candidate and his spouse from his father-in-law but the certificate of deposit was held in the name of Dawn Ann Giordano. Other documents provided show the certificate in both names.

On September 19, 2000 a Request for Additional Information (RFAI) was sent to the Committee by RAD referencing the 2000 April Quarterly Report (Attachment # 7). The RFAI requested the Committee amend their 2000 April Quarterly Report to include a complete Schedule C-1. The RFAI also requested the Committee to take appropriate action to remedy the excessive contribution from Mr. Trovato. A Second Notice was sent to the Committee on October 12, 2000 for failure to respond to the RFAI (Attachment # 8).

On September 19, 2000 an RFAI was sent to the Committee by RAD referencing the 2000 July Quarterly Report (Attachment # 9). The RFAI requested the Committee file an amendment to their report to include a complete Schedule C and C-1 on the loan from Patriot National Bank. A Second Notice was sent on October 12, 2000 for failure to respond to the RFAI (Attachment # 10).

On October 11, 2000 the Treasurer for the Committee, Mr. Paolino, contacted the Assistant Branch Chief of the Authorized Branch in response to the RFAI's received by the Committee requesting further clarification on a loan from Patriot National Bank. Mr. Paolino explained that the loan from Patriot National Bank was restructured upon realizing that the guarantee of the loan by Mr. Trovato resulted in an excessive contribution. The Committee restructured the original amount of the loan from \$200,000 to \$300,000. The loan was secured with a Certificate of Deposit and equity in a home owned jointly by the Candidate and his wife. Mr. Paolino was informed by the Assistant Branch Chief to send in a Schedule C with the new loan information (Attachment # 11).

On October 15, 2000 the Committee filed a 2000 October Quarterly Report. Schedule C of the report disclosed Mr. Giordano as the guarantor for the \$300,000 loan from Patriot National Bank. However, the Schedule C did not include Ms. Giordano as a guarantor as was previously reported on the Amended 2000 July Quarterly Report, dated August 21, 2000. A Schedule C-1 was not filed with this report (Attachment # 12).

On November 1, 2000 the Committee filed amendments to the 2000 April Quarterly Report and the July Quarterly Report with a cover letter. The letter stated that the Giordano Exploratory Committee entered into a \$200,000 debt obligation with Patriot National Bank in February of 2000. The letter also states that the Giordano for U.S. Senate Committee assumed the debt obligation of the

exploratory committee and increased the loan amount to \$300,000 in July of 2000. The letter also details the sources of collateral for the \$300,000 loan. The Committee included copies of Schedule C and C-1 with both amended reports, but the documents only pertain to the \$200,000 loan disclosed on the original 2000 April Quarterly. (Attachment # 13).

On November 27, 2000 the Committee filed a fourth amendment to the 2000 July Quarterly Report. The Committee sent a letter stating that Schedules C and C-1 have already been supplied in past amendments (Attachment # 14).

On July 3, 2001 an RFAI was sent to the Committee by RAD referencing the 2000 Amended July Quarterly Report, dated August 21, 2000 (Attachment # 15). The RFAI notes the receipt of the excessive contributions from Ms. Dawn Ann Giordano. The RFAI requested the Committee amend their report if the contribution from Ms. Giordano was not reported correctly. The Committee was also requested to take appropriate action to remedy the excessive contribution. A Second Notice was sent on July 26, 2001 for failure to respond to the RFAI (Attachment # 16). No response was received from the Committee.

## **SECTION 2.**

On October 13, 2000 the Committee filed the 2000 October Quarterly Report. This report disclosed the receipt of excessive contributions totaling \$2,000 from two (2) individuals. An RFAI was sent to the Committee by RAD on July 3, 2001 referencing the 2000 October Quarterly Report (Attachment # 17). The RFAI noted the receipt of excessive contributions and requested the Committee amend their report if the contributions were reported incorrectly. The Committee was also requested to take appropriate action to remedy the excessive contributions. The Committee responded with an amendment on July 18, 2001 correcting one (1) excessive contribution in the amount of \$1,000. A second Notice was sent on July 26, 2001. (Attachment # 18). No response was received from the Committee.

On October 27, 2000 the Committee filed the 2000 12-Day Pre-General Report. This report disclosed the receipt of prohibited contributions totaling \$1,250 from three (3) corporations. An RFAI was sent to the Committee by RAD on July 17, 2001 referencing the 2000 12-Day Pre-General Report (Attachment # 19). The RFAI noted the receipt of prohibited contributions and requested the Committee amend their report if the contributions were reported incorrectly. The Committee was also requested to take appropriate action to remedy the prohibited contributions. A Second Notice was sent to the Committee on August 9, 2001 for

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failure to respond to the RFAI (Attachment # 20). No response was received from the Committee.

On February 16, 2001 the Committee filed the 2000 30-Day Post-General Report. This report disclosed the receipt of excessive and prohibited contributions totaling \$30,000 from three (3) individuals and four (4) corporations. An RFAI was sent to the Committee on July 17, 2001 by RAD referencing the 2000 30-Day Post-General Report. (Attachment # 21). The RFAI noted the receipt of excessive and prohibited contributions and requested the Committee amend their report if the contributions were not reported correctly. The Committee was also requested to take appropriate action to remedy the excessive and prohibited contributions. A Second Notice was sent to the Committee on August 9, 2001 for failure to respond to the RFAI (Attachment # 20). No response was received from the Committee.

#### **B. Failure to Provide the Contributor Information for Contributions from Individuals**

The Committee failed to disclose the contributor information for 440 of 644, or sixty-eight percent (68%), of the itemized contributions from individuals during the 1999-2000 Election Cycle.

Presented below is a summary of RAD's communications with the Committee regarding the missing contributor information.

The April and July Quarterly Reports provided the contributor information for 101 of the 102 contributors. Thus, the committee did not receive an RFAI on these reports for this standard.

On October 13, 2000, the Committee filed a 2000 October Quarterly Report. The report failed to provide the contributor information for 124 of 217, or 57% of the itemized individual contributions disclosed during the reporting period. The missing information included the contributor's address, occupation, employer, and date.

On October 27, 2000, the Committee filed a 2000 12-Day Pre-General Report. The report failed to provide the contributor information for 11 of 17, or 64% of the itemized individual contributions disclosed during the reporting period. The missing information included the contributor's address, occupation, and employer.

On February 16, 2001, the Committee filed a 2000 30-Day Post-General Report. The report failed to provide the contributor information for 308 of 308, or

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100% of the itemized individual contributions. The missing information included the contributor's address, occupation, and employer.

On July 3, 2001, an RFAI was sent by RAD to the Committee referencing the 2000 October Quarterly Report (Attachment # 17). The RFAI noted that the Committee failed to provide the required contributor information and explained the procedures for demonstrating "best efforts".

On July 17, 2001, RFAs were sent by RAD to the Committee referencing the 2000 12-Day Pre-General Report (Attachment # 19) and the 2000 30-Day Post-General Report (Attachment # 21). The RFAs noted that the Committee failed to provide the required contributor information and explained the procedures for demonstrating "best efforts".

On July 18, 2001, the Committee filed an Amended 2000 October Quarterly Report (Attachment # 23). This amendment included a letter from the Committee to contributors who failed to include occupation and employer information as well as descriptions of telephone follow-up attempts. The Committee did not include the statements required to establish best efforts. On July 26, 2001, RAD sent a Second Notice to the Committee (Attachment # 18). The Committee did not respond to the Second Notice.

On August 9, 2001, RAD sent Second Notices to the Committee regarding both the 2000 12-Day Pre-General Report and the 2000 30-Day Post-General Report (Attachments # 20). The Committee did not respond to the Second Notices.

On August 31, 2001 the Analyst called the treasurer of the Committee, Mr. Ariola, regarding the three (3) matters<sup>2</sup> (Attachment # 24). The Analyst was informed that Martin Minnella was acting as the power of attorney for Mr. Ariola and all correspondence would be directed through him. Mr. Minnella stated that his client was not the treasurer of the Giordano For United States Senate Committee. Mr. Ariola alleged that his signature was signed to documents stating that he was the treasurer without his consent. Mr. Minnella stated that a letter would be drawn up by both himself and Mr. Ariola stating that Mr. Ariola was not responsible for filing any amendments to reports based on the fact that he is not the acting treasurer. No response was received. Several attempts were subsequently made to try and reach Mr. Minnella without any response.

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<sup>2</sup> Also present during the conference call were Barry Conway, Authorized Branch Chief and Michael Young, RAD Senior Analyst.

On January 14, 2002, the analyst attempted to contact the former treasurer for the committee in order to receive some information concerning the Committee's three matters. However, no response was received from Mr. Blumenthal, (Attachment # 25).

Please note that in January 2002, RAD determined that the RFAI's and Second Notices sent for the 2000 October Quarterly, 2000 12-Day Pre Primary, and the 2000 30-Day Post General Reports were never received by the Committee. The Committee had closed their Post Office Box sometime in 2001 without notifying the FEC and left no forwarding address. Also, the returned letters from the US Postal Service were not received by the FEC until several months later due to the anthrax/irradiation issues with the mail. In light of these facts, the Analyst contacted Mr. Ariola's attorney, Mr. William Brown, on January 14, 2002 and arranged to have copies of the letters in question sent via mail to Mr. Brown's office (Attachment # 26). The copies of the letters in question were mailed that same day.

On February 13, 2002, the Analyst attempted to contact the assistant and former treasurer, Mr. James Paolino, for the committee in order to receive information concerning the Committee's three (3) matters. Mr. Paolino no longer resided at the number provided by the Committee. Mrs. Paolino (James Paolino's mother) would not supply the Analyst with an alternate contact number and stated she would not relay the message to her son. (Attachment # 27)

On April 11, 2002, the Analyst contacted Mr. Ariola's attorney, Mr. William Brown, in order to confirm the receipt of RFAI's and Second Notices sent by RAD to Mr. Brown's office. Mr. Brown informed the Analyst that to date the only correspondence his office had received from RAD was a Non Filer Notice for the 2001 Year End Report. The Analyst then suggested that the RFAI's and Second Notices for the 2000 October Quarterly, the 2000 12 Day Pre Primary and the 2000 30 Day Post General be sent via fax. The Analyst asked Mr. Brown to review the RFAI's with Mr. Ariola to see if a response to RAD's inquires could be made. Mr. Brown informed the Analyst that the FBI was still in possession of all Committee files and no indication has been made that the files would be returned. Therefore, he stated that no response to RAD would be made. (Attachment # 28)

On October 21, 2002, the Analyst was contacted by a paralegal in the law office of Mr. Ariola's Attorney, Mr. William Brown. The paralegal informed the Analyst that the treasurer, Mr. Ariola and his attorney, Mr. Brown were filing the 2001 Mid Year Report. The Committee was mailed a Non Filer Notice for the 2001 Mid Year Report on January 14, 2002. (Attachment #29) The Analyst asked the paralegal if the treasurer and his attorney were intending to amend any past

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reports to correct the three potential violations against the Committee. The paralegal informed the Analyst that he did not have that information available to him at the time but he would look into the matter and find out what corrections if any had been made to correct the three (3) matters pending. (Attachment # 30)

On October 22, 2002 the Analyst was contacted by a paralegal in the law office of Mr. Ariola's attorney, Mr. William Brown. The Analyst was informed that no corrections were made on the three (3) matters pending against the Committee. This was due to the fact that the FBI and IRS were still in possession of all of the Committee's campaign files, disk, and all other related material. The Analyst was informed that the FBI and IRS show no signs of the material being returned to the Committee therefore no corrections could be made. The paralegal informed the Analyst that the 2001 Mid Year Report was sent on October 21, 2002 along with a letter from Mr. William Brown stating that no amendments were filed to correct the three (3) pending matters. (Attachment #31)

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CANDIDATE/COMMITTEE/DOCUMENT	OFFICE SOUGHT	PARTY	RECEIPTS	DISBURSEMENTS	COVERAGE DATES	# OF PAGES	IMAGE LOCATION TYPE OF FILER
GIORDANO, PHILIP A	SENATE	REPUBLICAN PARTY			CONNECTICUT	2000 ELECTION	ID# SOCT00060
1. STATEMENT OF CANDIDATE							
2. PRINCIPAL CAMPAIGN COMMITTEE							
GIORDANO FOR UNITED STATES SENATE					ID #C00353862	SENATE	
2001 STATEMENT OF ORGANIZATION - AMENDMENT					16FEB01	2	21SEN/005/0769
NOTICE OF FAILURE TO FILE					1JAN01 -30JUN01	2	21FEC/729/0482
NOTICE OF FAILURE TO FILE					1JUL01 -31DEC01	2	22FEC/747/2587
2002 NOTICE OF FAILURE TO FILE					1JAN02 -30JUN02	2	22FEC/772/0763
TOTAL			0	0		8	TOTAL PAGES
3. AUTHORIZED COMMITTEES							
4. JOINT FUNDRAISING COMMITTEES AUTHORIZED BY THE CAMPAIGN							
THE FOLLOWING INFORMATION IS AS REPORTED BY PARTY AND NON-PARTY COMMITTEES OR OTHER FILERS OUTSIDE THE CAMPAIGN							
5. NON-PARTY AND OTHER COMMITTEES							
6. PARTY COMMITTEE TRANSACTIONS			CONTRIBUTIONS TO	EXPENDITURES ON BEHALF OF			
7. COMMUNICATION COST TRANSACTIONS			CONTRIBUTIONS TO	EXPENDITURES ON BEHALF OF			
8. DELEGATE COMMITTEE REPORTS			COMMUNICATION COSTS ON BEHALF OF	COMMUNICATION COSTS AGAINST			
9. UNAUTHORIZED SINGLE CANDIDATE COMMITTEE REPORTS			RECEIPTS	DISBURSEMENTS			

All reports reviewed.

Cash on Hand as of 12/31/01: \$9,312

Debts and Obligations owed to the Committee: \$0

Debts and Obligations owed by the Committee: \$0

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CANDIDATE/COMMITTEE/DOCUMENT	OFFICE SOUGHT/	PARTY	RECEIPTS		DISBURSEMENTS		COVERAGE DATES	# OF PAGES TYPE OF FILER	IMAGE LOCATION
			PRIMARY	GENERAL	PRIMARY	GENERAL			
GIORDANO, PHILIP A	SENATE	REPUBLICAN PARTY			CONNECTICUT		2000 ELECTION	ID# SOCT00060	
1. STATEMENT OF CANDIDATE									
2000 STATEMENT OF CANDIDATE							20MAR00	2	20SEN/010/0933
2. PRINCIPAL CAMPAIGN COMMITTEE									
GIORDANO FOR UNITED STATES SENATE								ID #C00353862	SENATE
2000 STATEMENT OF ORGANIZATION							11FEB00	2	20SEN/009/0837
STATEMENT OF ORGANIZATION - AMENDMENT							20MAR00	2	20SEN/010/0935
STATEMENT OF ORGANIZATION - AMENDMENT							24JUL00	2	20SEN/023/2801
48 HOUR CONTRIBUTION NOTICE							24JUL00	4	20SEN/023/2804
48 HOUR CONTRIBUTION NOTICE							2NOV00	7	20SEN/039/0048
STATEMENT OF ORGANIZATION - AMENDMENT							8DEC00	2	20SEN/044/0447
APRIL QUARTERLY			255,900		197,929	1JAN00 -31MAR00	22	20SEN/015/0408	
APRIL QUARTERLY			255,900		197,929	1JAN00 -31MAR00	26	20SEN/038/2331	
APRIL QUARTERLY - AMENDMENT			255,900		197,929	1JAN00 -31MAR00	6	20SEN/044/0450	
REQUEST FOR ADDITIONAL INFORMATION						1JAN00 -31MAR00	6	20FEC/604/2010	
REQUEST FOR ADDITIONAL INFORMATION 2ND						1JAN00 -31MAR00	6	20FEC/618/0839	
JULY QUARTERLY			122,325		177,465	1APR00 -30JUN00	15	20SEN/018/0698	
JULY QUARTERLY - AMENDMENT			-		-	1APR00 -30JUN00	6	20SEN/021/2845	
JULY QUARTERLY - AMENDMENT			122,325		177,465	1APR00 -30JUN00	42	20SEN/027/2990	
JULY QUARTERLY - AMENDMENT			122,325		185,029	1APR00 -30JUN00	18	20SEN/038/2358	
JULY QUARTERLY - AMENDMENT			322,325		385,029	1APR00 -30JUN00	9	20SEN/044/0457	
REQUEST FOR ADDITIONAL INFORMATION						1APR00 -30JUN00	6	20FEC/604/2004	
REQUEST FOR ADDITIONAL INFORMATION 2ND						1APR00 -30JUN00	7	20FEC/618/0845	
REQUEST FOR ADDITIONAL INFORMATION						1APR00 -30JUN00	6	21FEC/716/3754	
REQUEST FOR ADDITIONAL INFORMATION 2ND						1APR00 -30JUN00	2	21FEC/722/1013	
OCTOBER QUARTERLY			177,046		170,978	1JUL00 -30SEP00	76	20SEN/034/2297	
OCTOBER QUARTERLY - AMENDMENT			-		-	1JUL00 -30SEP00	3	21SEN/009/0970	
REQUEST FOR ADDITIONAL INFORMATION						1JUL00 -30SEP00	9	21FEC/716/3760	
REQUEST FOR ADDITIONAL INFORMATION 2ND						1JUL00 -30SEP00	2	21FEC/722/1011	
PRE-GENERAL			154,128		131,480	1OCT00 -24OCT00	19	20SEN/038/1414	
REQUEST FOR ADDITIONAL INFORMATION						1OCT00 -24OCT00	8	21FEC/719/4071	
REQUEST FOR ADDITIONAL INFORMATION 2ND						1OCT00 -24OCT00	8	21FEC/727/2474	
POST-GENERAL			107,506		129,740	25OCT00 -27NOV00	51	21SEN/005/0772	
NOTICE OF FAILURE TO FILE						25OCT00 -27NOV00	2	21FEC/695/3161	
NOTICE OF FAILURE TO FILE						25OCT00 -27NOV00	2	21FEC/695/3163	
REQUEST FOR ADDITIONAL INFORMATION 2ND						25OCT00 -27NOV00	13	21FEC/727/2482	
REQUEST FOR ADDITIONAL INFORMATION						25OCT00 -27NOV00	12	21FEC/719/4059	
REQUEST FOR ADDITIONAL INFORMATION 2ND						25OCT00 -27NOV00	14	22FEC/751/0700	
YEAR-END			261,634		261,220	1OCT00 -31DEC00	63	21SEN/005/1623	
NOTICE OF FAILURE TO FILE						28NOV00 -31DEC00	2	21FEC/695/2472	

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1999-2000

CAN E INDEX OF SUPPORTING DOCUMENTS - (E)

PAGE 2

CANDIDATE/COMMITTEE/DOCUMENT	OFFICE SOUGHT/	PARTY	RECEIPTS		DISBURSEMENTS		COVERAGE DATES	# OF PAGES	IMAGE LOCATION
			PRIMARY	GENERAL	PRIMARY	GENERAL			
<p>3. AUTHORIZED COMMITTEES</p> <p>4. JOINT FUNDRAISING COMMITTEES AUTHORIZED BY THE CAMPAIGN</p> <p>THE FOLLOWING INFORMATION IS AS REPORTED BY PARTY AND NON-PARTY COMMITTEES OR OTHER FILERS OUTSIDE THE CAMPAIGN</p> <p>5. NON-PARTY AND OTHER COMMITTEES</p> <p>CONTRIBUTIONS TO EXPENDITURES ON BEHALF OF</p> <p>GOP-5 COMMITTEE ID# C00181230 NON-PARTY QUALIFIED</p> <p>NONE 1,000 18SEP00 20FEC/612/1355</p> <p>INTERNATIONAL LONGSHOREMEN'S ASSOCIATION AFL-CIO COMMITTEE ON POLITICAL EDUCATION ILA-COPEID# C00158576 NON-PARTY QUALIFIED</p> <p>INT'L LONGSHOREMEN'S ASSOC, ALF-CIO 1,000 27APR00 20F99/016/4940</p> <p>PEOPLE'S BANK FEDERAL POLITICAL ACTION COMMITTEE ID# C00178012 NON-PARTY QUALIFIED</p> <p>PEOPLE'S BANK 250 8SEP00 20FEC/609/0863</p> <p>RE-ELECT NANCY JOHNSON TO CONGRESS COMMITTEE ID# C00145607 HOUSE</p> <p>2000 OCTOBER QUARTERLY 1,000 8SEP00 20FEC/613/2065</p> <p>UNITED STATES FILTER CORPORATION POLITICAL ACTION COMMITTEE ID# C00326058 NON-PARTY QUALIFIED</p> <p>UNITED STATES FILTER CORP 1,000 25SEP00 20F99/022/7773</p> <p>2000 OCTOBER MONTHLY 4,250 0</p> <p>6. PARTY COMMITTEE TRANSACTIONS</p> <p>CONTRIBUTIONS TO EXPENDITURES ON BEHALF OF</p> <p>CONNECTICUT REPUBLICAN FEDERAL CAMPAIGN COMMITTEE ID# C00023838 PARTY QUALIFIED</p> <p>1999 STATE VIC FUND COMM 5,000 27OCT00 20FEC/669/1805</p> <p>2000 POST-GENERAL 5,000 0</p> <p>7. COMMUNICATION COST TRANSACTIONS</p> <p>COMMUNICATION COSTS ON BEHALF OF COMMUNICATION COSTS AGAINST</p> <p>NATIONAL RIFLE ASSOCIATION (INSTITUTE FOR LEGISLATIVE ACTION) ID# C70000716 COMMUNICATIONS</p> <p>2000 YEAR-END 326 30OCT00 21FEC/677/1162</p> <p>8 DELEGATE COMMITTEE REPORTS 326 0</p> <p>9. UNAUTHORIZED SINGLE CANDIDATE COMMITTEE REPORTS</p> <p>RECEIPTS DISBURSEMENTS</p>									

TOTAL

0 1,278,539

0 1,276,376

480 TOTAL PAGES

3. AUTHORIZED COMMITTEES

4. JOINT FUNDRAISING COMMITTEES AUTHORIZED BY THE CAMPAIGN

THE FOLLOWING INFORMATION IS AS REPORTED BY PARTY AND NON-PARTY COMMITTEES OR OTHER FILERS OUTSIDE THE CAMPAIGN

## 5. NON-PARTY AND OTHER COMMITTEES

	CONTRIBUTIONS TO	EXPENDITURES ON BEHALF OF	
GOP-5 COMMITTEE		ID# C00181230	NON-PARTY QUALIFIED
NONE			
2000 OCTOBER QUARTERLY	1,000	18SEP00	20FEC/612/1355
INTERNATIONAL LONGSHOREMEN'S ASSOCIATION AFL-CIO COMMITTEE ON POLITICAL EDUCATION ILA-COPEID# C00158576			NON-PARTY QUALIFIED
INT'L LONGSHOREMEN'S ASSOC, ALF-CIO			
2000 JULY QUARTERLY	1,000	27APR00	20F99/016/4940
PEOPLE'S BANK FEDERAL POLITICAL ACTION COMMITTEE		ID# C00178012	NON-PARTY QUALIFIED
PEOPLE'S BANK			
2000 OCTOBER QUARTERLY	250	8SEP00	20FEC/609/0863
RE-ELECT NANCY JOHNSON TO CONGRESS COMMITTEE		ID# C00145607	HOUSE
2000 OCTOBER QUARTERLY	1,000	8SEP00	20FEC/613/2065
UNITED STATES FILTER CORPORATION POLITICAL ACTION COMMITTEE		ID# C00326058	NON-PARTY QUALIFIED
UNITED STATES FILTER CORP			
2000 OCTOBER MONTHLY	1,000	25SEP00	20F99/022/7773

TOTAL

4,250

0

## 6. PARTY COMMITTEE TRANSACTIONS

	CONTRIBUTIONS TO	EXPENDITURES ON BEHALF OF	
CONNECTICUT REPUBLICAN FEDERAL CAMPAIGN COMMITTEE		ID# C00023838	PARTY QUALIFIED
1999 STATE VIC FUND COMM			
2000 POST-GENERAL	5,000	27OCT00	20FEC/669/1805

TOTAL

5,000

0

## 7. COMMUNICATION COST TRANSACTIONS

	COMMUNICATION COSTS ON BEHALF OF	COMMUNICATION COSTS AGAINST	
NATIONAL RIFLE ASSOCIATION (INSTITUTE FOR LEGISLATIVE ACTION)		ID# C70000716	COMMUNICATIONS
2000 YEAR-END	326	30OCT00	21FEC/677/1162

TOTAL

326

0

## 8 DELEGATE COMMITTEE REPORTS

## 9. UNAUTHORIZED SINGLE CANDIDATE COMMITTEE REPORTS

RECEIPTS

DISBURSEMENTS

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## EXCESSIVE CONTRIBUTIONS

CONTRIBUTOR	CONTRIBUTION AMOUNT	DATE	ELECTION DESIGNATION	REPORT	EXCESSIVE AMOUNT
Allocco, Elizabeth	\$1,000	09/15/2000	G	Q3	
Allocco, Elizabeth	\$1,000	09/15/2000	G	Q3	\$1,000
Capelletti, Joann	\$1,000	06/28/2000	G	Q2	
Capelletti, Joann	\$250	10/18/2000	G	30G	\$250
Decaro, Angelo	\$2,000	10/03/2000	G	30G	\$1,000
Longino, Timothy	\$1,800	10/30/2000	G	30G	
Longino, Timothy	\$22,000	10/30/2000	G	30G	\$23,000
Paolino, James	\$1,000	05/25/2000	G	Q2	
Paolino, James	\$1,000	06/28/2000	G	Q2	\$1,000
Pinto, Paul	\$1,000	10/27/2000	G	30G	
Pinto, Paul	\$250	04/12/2000	G	Q1	\$250
				TOTAL	\$26,500

CONTRIBUTOR	CONTRIBUTION AMOUNT	DATE	ELECTION	REPORT	EXCESSIVE AMOUNT
Giordano, Dawn Ann and/or Travato, Salvatore*	\$149,000	07/14/2000	G	Q3	\$149,000
				TOTAL	\$149,000

\* Based on the documentation provided by the Committee, RAD was unable to determine if an excessive contribution of \$149,000 was received by the candidate's wife, Dawn Ann Giordano, or the candidate's father-in-law Salvatore Travato.

## PROHIBITED CONTRIBUTIONS

CONTRIBUTOR	AMOUNT	DATE	ELECTION DESIGNATION	REPORT	PROHIBITED AMOUNT
Diabes Brothers, Inc.	\$1,000	10/27/2000	G	30G	\$1,000
Diabes Brothers, Inc. II	\$1,000	10/27/2000	G	30G	\$1,000
DiBacco Plumbing & Heating Inc.	\$500	10/07/2000	G	12G	\$500
En-Tech Corp.	\$2,500	10/14/2000	G	30G	\$2,500
Northeast Cosmetology Inc.	\$500	10/01/2000	G	12G	\$500
R.P L	\$1,000	10/10/2000	G	30G	\$1,000
The Red Lion, Inc.	\$250	10/04/2000	G	12G	\$250
				TOTAL	\$6,750

26044130674



**LOANS**

Page 1 of 1 for  
LINE NUMBER  
(Use separate schedules  
for each numbered line)

Name of Committee (In Full)

Giordano Congressional Exploratory Committee / Giordano U.S. Senate

A. Full Name, Mailing Address and ZIP Code of Loan Source

Patriot National Bank  
900 Bedford Street  
Stamford, CT 06901

Original Amount  
of Loan

\$200,000

Cumulative Payment  
To Date

809.68

Balance Outstanding  
at Close of This Period

0/199,190

Election: ☐ Primary ☒ General ☐ Other (specify):

Term: Date Incurred 2/25/00 Date Due 2/25/01 Interest Rate 10 % (april)

☐ Secured

List All Endorsers or Guarantors (if any) to Item A

1. Full Name, Mailing Address and ZIP Code

Philip A. Giordano  
157 Southwind Rd  
Waterbury, CT 06708

Name of Employer

City of Waterbury / self

Occupation

Mayor / Lawyer

Amount Guaranteed Outstanding:

\$200,000

2. Full Name, Mailing Address and ZIP Code

Salvatore Trovato  
14 Field Day Lane  
East Northport, N.Y. 11731

Name of Employer

Trocom Co.

Occupation

owner

Amount Guaranteed Outstanding:

\$

3. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

B. Full Name, Mailing Address and ZIP Code of Loan Source

Original Amount  
of Loan

Cumulative Payment  
To Date

Balance Outstanding  
at Close of This Period

Election: ☐ Primary ☐ General ☐ Other (specify):

Term: Date Incurred \_\_\_\_\_ Date Due \_\_\_\_\_ Interest Rate \_\_\_\_\_ % (april)

☐ Secured

List All Endorsers or Guarantors (if any) to Item B

1. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

2. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

3. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

SUBTOTALS This Period This Page (optional)

TOTALS This Period (last page in this line only)

Carry outstanding balance only to LINE 3, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.

LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS

NAME OF COMMITTEE (IN FULL) <i>Giordano Cong. EX-Senator Comm. / Senate</i>	FEC IDENTIFICATION NUMBER	
FULL NAME, MAILING ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER) <i>Patriot National Bank 900 Bedford Street Stamford, CT 06901</i>	AMOUNT OF LOAN <i>\$200,000</i>	INTEREST RATE (APR) <i>10%</i>
	DATE INCURRED OR ESTABLISHED <i>2/25/00</i>	DATE DUE <i>2/25/01</i>

A. Has loan been restructured? ☒ No ☐ Yes If yes, date originally incurred: \_\_\_\_\_

B. If line of credit, amount of this draw: *200,000*; total outstanding balance: *@199,000*

C. Are other parties secondarily liable for the debt incurred?

☐ No ☐ Yes (Endorsers and guarantors must be reported on Schedule C.)

D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral?

☐ No ☒ Yes If yes, specify: *Cash on deposit*

What is the value of this collateral? *\$200,000 (?)*

Does the lender have a perfected security interest in it? ☐ No ☐ Yes

E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan?

☐ No ☒ Yes If yes, specify: *Contributions from Future* What is the estimated value? *200,000 (?)*

A depository account must be established pursuant to 11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account established: *2/25/00* Location of account: *Patriot National Bank*

F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment.

G. COMMITTEE TREASURER

TYPED NAME *James E. Paolino*

SIGNATURE 

DATE

*4/12/00*

H. Attach a signed copy of the loan agreement.

I. TO BE SIGNED BY THE LENDING INSTITUTION:

I. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above.

II. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness.

III. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.

AUTHORIZED REPRESENTATIVE	TITLE	DATE
<i>N/A will be included in next report.</i>		<i>4/12/00</i>
TYPED NAME	SIGNATURE	

LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS

NAME OF COMMITTEE (IN FULL) <i>Giordano Congressional Exploration Com.</i>		FEC IDENTIFICATION NUMBER	
FULL NAME, MAILING ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER) <i>Patrit National Bank</i> <i>900 Bedford St.</i> <i>Stamford, CT 06901</i>		AMOUNT OF LOAN <i>200,000</i>	INTEREST RATE (APR) <i>10%</i>
		DATE INCURRED OR ESTABLISHED <i>2/25/00</i>	DATE DUE <i>2/</i>

A. Has loan been restructured? ☒ No ☐ Yes If yes, date originally incurred: \_\_\_\_\_

B. If line of credit, amount of this draw: *200,000* ; total outstanding balance: *@199,000*

C. Are other parties secondarily liable for the debt incurred?

☐ No ☒ Yes (Endorsers and guarantors must be reported on Schedule C.)

D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral?

☐ No ☒ Yes If yes, specify: *C:*

What is the value of this collateral? \_\_\_\_\_

Does the lender have a perfected security interest in it? ☐ No ☐ Yes

E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan?

☐ No ☒ Yes If yes, specify: *Contributions/future income* What is the estimated value? *200,000 @*

A depository account must be established pursuant to 11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account

established: *2/25/00* Location of account: *Patrit National Bank*

F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment

G. COMMITTEE TREASURER

TYPED NAME *James S. Paolino*

SIGNATURE 

DATE

H. Attach a signed copy of the loan agreement.

I. TO BE SIGNED BY THE LENDING INSTITUTION:

I. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above.

II. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness.

III. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.

AUTHORIZED REPRESENTATIVE	TITLE	DATE
TYPED NAME	SIGNATURE	

## GIORDANO CONGRESSIONAL EXPLORATORY COMMITTEE

To whom it may concern,

This exploratory committee entered into a debt obligation to Patriot National Bank in the amount of \$200,000. The Giordano for U.S. Senate has assumed this obligation in anticipation of the termination of this exploratory committee. All further information pertaining to this obligation can be found in the appropriate records for that committee. Please feel free to contact me with any question.



James S. Paulino  
Treasurer

<b>Name of Committee (in Full)</b> <i>Gior dano Cong. Exp. Comm.</i>			
<b>A. Full Name, Mailing Address and ZIP Code of Loan Source</b> <i>Patriot National Bank</i> <i>One Bedford St.</i> <i>Stamford, CT 06901</i> Election: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):		<b>Original Amount of Loan</b> <i>200,000</i>	<b>Cumulative Payment To Date</b>
<b>Balance Outstanding at Close of This Period</b>			
<b>Terms:</b> Date Incurred _____ Date Due _____ Interest Rate _____ % (april) <b>Secured</b>			
<b>List All Endorsements or Guaranties (if any) to Item A</b>			
<b>1. Full Name, Mailing Address and ZIP Code</b>		<b>Name of Employer</b>	
		<b>Occupation</b>	
		<b>Amount Guaranteed Outstanding:</b> \$	
<b>2. Full Name, Mailing Address and ZIP Code</b>		<b>Name of Employer</b>	
		<b>Occupation</b>	
		<b>Amount Guaranteed Outstanding:</b> \$	
<b>3. Full Name, Mailing Address and ZIP Code</b>		<b>Name of Employer</b>	
		<b>Occupation</b>	
		<b>Amount Guaranteed Outstanding:</b> \$	
<b>B. Full Name, Mailing Address and ZIP Code of Loan Source</b>		<b>Original Amount of Loan</b>	<b>Cumulative Payment To Date</b>
<b>Balance Outstanding at Close of This Period</b>			
<b>Terms:</b> Date Incurred _____ Date Due _____ Interest Rate _____ % (april) <b>Secured</b>			
<b>List All Endorsements or Guaranties (if any) to Item B</b>			
<b>1. Full Name, Mailing Address and ZIP Code</b>		<b>Name of Employer</b>	
		<b>Occupation</b>	
		<b>Amount Guaranteed Outstanding:</b> \$	
<b>2. Full Name, Mailing Address and ZIP Code</b>		<b>Name of Employer</b>	
		<b>Occupation</b>	
		<b>Amount Guaranteed Outstanding:</b> \$	
<b>3. Full Name, Mailing Address and ZIP Code</b>		<b>Name of Employer</b>	
		<b>Occupation</b>	
		<b>Amount Guaranteed Outstanding:</b> \$	
<b>SUBTOTALS This Period This Page (optional)</b>			
<b>TOTALS This Period (last page in this line only)</b>			
Carry outstanding balance only to LINE 1, Schedule C, for this line, if no Schedule C, carry forward to appropriate line of Summary.			

★ ★ ★ ★ ★ ★ ★ ★ ★ ★

**Philip A. Giordano**  
for  
United States Senate

★ ★ ★ ★ ★ ★ ★ ★ ★ ★



★ ★ ★ ★ ★ ★ ★ ★ ★ ★

**Timothy A. Longino**  
Campaign Chairman

CLERK OF THE SENATE

★ ★ ★ ★ ★ ★ ★ ★ ★ ★

00 JUL 18 AM 10:59

July 14, 2000

RECEIVED  
FEC MAIL ROOM  
2000 JUL 17 P 1:20

*Federal Election Commission  
999 East Street NW  
Washington, D.C. 20463*

*Attn: Lisa Simpson*

*Re: Giordano for U.S. Senate  
FEC #: C00353862*

*Dear Lisa:*

*Enclosed please find schedule C, C-1 and a copy of the Loan Agreement pursuant to the above referenced committee. I trust this should complete said filing. Should you have any questions or if any additional documentation is necessary, please contact me.*

*Thank you for all your assistance. You were truly helpful and pleasant.*

*Very truly yours,*

A handwritten signature of Philip A. Giordano, written in dark ink, with a horizontal line drawn through it.

*Philip A. Giordano*

**P.O. Box 2360, Waterbury, CT 06724**

★ ★ ★ ★ (203)757-9984 ★ ★ ★ ★

**Paid for by the Giordano For United States Senate Committee, Michael Marano (not), Treasurer**

26044130680

RECEIVED  
FEB 17 11:20 AM  
LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS

NAME OF COMMITTEE (IN FULL) <b>GOUDREANO Congressional Exploratory Committee</b>		FEC IDENTIFICATION NUMBER <b>C00353862</b>	
FULL NAME, MAILING ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER) <b>PATRIOT NATIONAL BANK 900 Bedford ST STAMFORD CT 06901</b>		AMOUNT OF LOAN <b>\$300,000</b>	INTEREST RATE (APR) <b>8.07</b>
		DATE INCURRED OR ESTABLISHED <b>7-14-00</b>	DATE DUE <b>2/24/01</b>

A. Has loan been restructured? ☒ No ☐ Yes If yes, date originally incurred: \_\_\_\_\_

B. If line of credit, amount of this draw: 300,000 ; total outstanding balance: 300,000

C. Are other parties secondarily liable for the debt incurred?

☒ No ☐ Yes (Endorsers and guarantors must be reported on Schedule C.)

D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral?

☐ No ☒ Yes If yes, specify: certificate of deposit

What is the value of this collateral? \$300,000

Does the lender have a perfected security interest in it? ☐ No ☒ Yes

E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan?

☒ No ☐ Yes If yes, specify: \_\_\_\_\_ What is the estimated value? \_\_\_\_\_

A depository account must be established pursuant to 11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account established: \_\_\_\_\_ Location of account: \_\_\_\_\_

F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment.

N/A

G. COMMITTEE TREASURER

TYPED NAME Jim Paulina

SIGNATURE 

DATE

7/14/00

H. Attach a signed copy of the loan agreement.

I. TO BE SIGNED BY THE LENDING INSTITUTION:

i. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above.

ii. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness.

iii. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.

AUTHORIZED REPRESENTATIVE

Philip W. Webster

TYPED NAME

SIGNATURE 

TITLE

Chief Operating Officer

DATE

7-14-00

FEB 17 2001

12/91

26044130681

**LOANS**

Name of Committee (in Full)

**Giordano Congressional Expenditure**

A. Full Name, Mailing Address and ZIP Code of Loan Source <b>Patric National Bank 900 Bedford Street Stamford, CT 06901</b>	Original Amount of Loan <b>300,000.<sup>00</sup></b>	Cumulative Payment To Date <b>0</b>	Balance Outstanding at Close of This Period <b>300,000.<sup>00</sup></b>
Election: <input checked="" type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):			

Terms: Date Incurred **7-14-00** Date Due **2-24-01** Interest Rate **8.07 % (apr)** ☐ Secured

List All Endorsers or Guarantors (if any) to Item A

1. Full Name, Mailing Address and ZIP Code <b>Philip A. Giordano 157 Southwind Road Waterbury, CT 06708</b>	Name of Employer <b>City of Waterbury</b>		
	Occupation <b>Mayor</b>		
	Amount Guaranteed Outstanding: <b>\$ 300,000.<sup>00</sup></b>		
2. Full Name, Mailing Address and ZIP Code <b>N/A</b>	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding: <b>\$</b>		
3. Full Name, Mailing Address and ZIP Code <b>N/A</b>	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding: <b>\$</b>		

B. Full Name, Mailing Address and ZIP Code of Loan Source	Original Amount of Loan	Cumulative Payment To Date	Balance Outstanding at Close of This Period
Election: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			

Terms: Date Incurred \_\_\_\_\_ Date Due \_\_\_\_\_ Interest Rate \_\_\_\_\_ % (apr) ☐ Secured

List All Endorsers or Guarantors (if any) to Item B

1. Full Name, Mailing Address and ZIP Code	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding: <b>\$</b>		
2. Full Name, Mailing Address and ZIP Code	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding: <b>\$</b>		
3. Full Name, Mailing Address and ZIP Code	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding: <b>\$</b>		

SUBTOTALS This Period This Page (optional) \_\_\_\_\_

TOTALS This Period (last page in this line only) \_\_\_\_\_

Carry outstanding balance only to LINE 3, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.



1993



**Philip A. Giordano**  
for  
**United States Senate**



**Timothy A. Longino**  
Campaign Chairman

August 21, 2000

Secretary of the Senate  
Office of Public Records  
232 Senate Hart Office Building  
Washington, DC 20510-7116

00 SEP -5 AM 10:45

Re: FEC number C00353862  
Tax identification number 06-1582134  
Giordano U.S. Senate July quarterly filing

Dear Senate Clerk,

Please accept this packet as an addendum to our previously filed FEC report dated July 15, 2000.

We do not feel that our July report, as filed, adequately explains a loan transaction made by the Giordano for U.S. Senate Committee. This addendum attempts to correct all previous errors and purports to conform our report to FEC regulations.

As you know, the previous report collateralized the loan abovementioned with a Certificate of Deposit of \$300,000.00 held in the name of Dawn Ann Giordano, Philip A. Giordano's spouse. The Certificate of Deposit was a gift made to Mr. And Mrs. Giordano from Mrs. Giordano's father. Similar gifts were made to all Mrs. Giordano's siblings and their spouses. The Certificate was given jointly to be held in both names. This would allow us to collateralize \$150,000.00 of said loan with Mr. Giordano's one half interest in the Certificate. (document enclosed)

P.O. Box 2360, Waterbury, CT 06724

★ ★ ★ ★ (203)757-9984 ★ ★ ★ ★

Paid for by the Giordano for United States Senate Committee, Michael Marzuffal, Treasurer

26044130685

**Re: FEC number C00353862**  
**Tax identification number 06-1582134**  
**Giordano U.S. Senate July quarterly filing**

**Page 2**

The balance of the loan is collateralized as follows:

- (a) Mr. Giordano holds an undivided one half interest in real estate known as 157 Southwind Road, Waterbury, CT. The fair market value of said premises is estimated to be \$220,000.00 of which \$110,000.00 of equity is imputed to him.
- (b) In addition, Patriot National Bank holds a first position security interest in the cash on hand in the Committee account.

I apologize for any inconvenience that this addendum may cause. If you have any questions concerning this packet please do not hesitate to contact our office.

Sincerely,

  
Thomas Ariola,  
Deputy Treasurer

26044130686

## LOANS

(Use separate schedules  
for each numbered line)

Committee (in Full)

Giordano for U.S. Senate

A. Full Name, Mailing Address and ZIP Code of Loan Source

Patriot National Bank  
900 Bedford St.  
Stamford, CTOriginal Amount  
of Loan

300,000

Cumulative Payments  
To DateBalance Outstanding  
at Close of This Period

300,000

Election: ☐ Primary ☒ General ☐ Other (specify):Terms: Date Incurred \_\_\_\_\_ Date Due \_\_\_\_\_ Interest Rate \_\_\_\_\_ % (apr) ☐ Secured

List All Endorsers or Guarantors (if any) to Item A

1. Full Name, Mailing Address and ZIP Code

Philip A. Giordano  
157 Southwind Rd.  
Waterbury, CT 06708

Name of Employer

City of Waterbury

Occupation

Mayor

Amount Guaranteed Outstanding:

\$300,000

2. Full Name, Mailing Address and ZIP Code

N/A

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

3. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

B. Full Name, Mailing Address and ZIP Code of Loan Source

Original Amount  
of LoanCumulative Payments  
To DateBalance Outstanding  
at Close of This PeriodElection: ☐ Primary ☒ General ☐ Other (specify):Terms: Date Incurred \_\_\_\_\_ Date Due \_\_\_\_\_ Interest Rate \_\_\_\_\_ % (apr) ☐ Secured

List All Endorsers or Guarantors (if any) to Item B

1. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

2. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

3. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

\$ JETOTALS This Period This Page (optional)

TOTALS This Period (last page in this line only)

Carry outstanding balance only to LINE 3, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.

26044130687

## GIORDANO CONGRESSIONAL EXPLORATORY COMMITTEE

To whom it may concern,

The Giordano Congressional Exploratory Committee entered into a debt of obligation with Patriot National Bank in the amount of \$200,000. In anticipation of the termination of the exploratory committee, the Giordano for U.S. Senate Committee has assumed this obligation and increased its obligation to a total of \$300,000. All further references to this debt or any questions concerning this obligation can be referred to the Giordano Senate Committee and it's treasurer. I thank you for your time and I apologize for any inconvenience that this may cause.

Sincerely,



James S. Paolino,  
Giordano Congressional Exploratory Committee

26044130688

Giordano US Senate Committee  
Phillip A. Giordano  
P.O. Box 2380  
Waterbury, CT 06724

Patriot National Bank  
900 Bedford Street  
Stanford, CT 06901

Loan Number  
Date of July 14, 2000  
Maturity Date 7/24/2007  
Loan Amount \$300,000.00  
Original CI

DEBORAH'S NAME AND ADDRESS  
It includes each borrower's name, birth date and address.

LENDER'S NAME AND ADDRESS  
You're making the loan. It's the name and address.

For each month, I promise to pay to you, or your bank, my payment based on the principal amount of Three Hundred Thousand and no/100 dollars and no/100 cents. I agree to pay interest on the principal amount of Three Hundred Thousand dollars at the rate of 8.00 %.

☐ Single Advance: I will receive all of the principal sum on July 14, 2000. No additional advances are contemplated under this note.  
☒ Staggered Advances: The principal sum shall be paid in the medium amount of principal sum before which it is made. On July 14, 2000 I will receive the principal of \$ 300,000.00 and future payments shall be as follows:  
Condition: The borrower to have advance on that monthly payments remain current

☒ Open End Credit: You and I agree that I will borrow up to the medium principal sum from time to time. The medium is subject to all other conditions and terms of the loan. July 14, 2000

☐ Closed End Credit: You and I agree that my borrow (subject to all other conditions) up to the medium principal sum only on the July 14, 2000 at the rate of 8.00 % per annum February 25, 2001

☐ Variable Rate: This note may have change of interest rate.

☐ Index Rate: The loan rate will be the following index rate

☐ No Index: The loan rate will be the index rate or the index rate, it will be subject to your control.

☐ Floating and the loan: The loan rate will be the index rate or the index rate, it will be subject to your control.

☐ A change in the interest rate will be as follows:

☐ Limitation: During the term of the loan, the applicable maximum rate of interest shall be 8.00 % or less than 8.00 % The rate may not change more than 8.00 % or less than 8.00 %

☐ Effect of Variable Rate: A change in the interest rate will have the following effect on the payments:

☐ The amount of each scheduled payment will change. ☐ The amount of the final payment will change.

ACCORDING METHOD: Interest will be calculated on a 365 day basis.

POSTPAYMENT RATE: I agree to pay interest on the unpaid balance of this note every after maturity, and until paid in full, as stated below:

☐ On the above fixed or variable rate basis is added before maturity (as indicated above).

☐ At a rate equal to 8.00 % per annum 7/24/2007

☒ Late Charge: If payment is not made within 10 days after it is due, I agree to pay a late charge of 1.00 or \$ 25.00 whichever is greater.

☐ ADDITIONAL CHARGE: In addition to interest, I agree to pay the following charges which ☐ are ☐ are not included in the principal amount above:

PAYMENT: I agree to pay this note as follows:

☒ Monthly: I agree to pay interest monthly

☐ Payment: I agree to pay the principal at maturity

☐ Installment: I agree to pay this note in payments. The last payment will be in the amount of \$ 300,000.00 or less than 300,000.00 or more than 300,000.00. The first payment will be on July 14, 2000 and the last payment will be on July 24, 2007. The first payment of the note will be on July 14, 2000 and the last payment will be on July 24, 2007.

PURPOSE: The purpose of this note is working capital

ADDITIONAL TERMS:

SECURITY INTEREST: I give you a security interest in all of the Property described below that I now own, and that I may own in the future (including, but not limited to, all real, personal, tangible, intangible, and accessories to the Property, wherever the Property is located, and all interests and products of the Property).

☐ Inventory: All inventory which I have for sale or lease, or which has been or will be supplied under contract of service, or which are not finished, work in process, or materials used or consumed in my business.

☐ Equipment: All equipment including, but not limited to, all machinery, vehicles, fixtures, furniture, manufacturing equipment, farm machinery and equipment, shop equipment, office and non-office equipment, and tools and tools. All equipment described in a list or schedule which I attach to this note and which is included in the security interest, but such a list is not necessary for a valid security interest in my equipment.

☐ Farm Products: All farm products including, but not limited to, all crops and products and their young, along with their products and accessories.

☐ All crops, animals or animals, and all products of the property described in this note, including, but not limited to, all crops, animals, and all products of the property described in this note.

☐ Accounts, receivables, deposits, checks, paper and other rights to payment: I agree to have you and that I may have in the future to the property of the property described in this note, including, but not limited to, all accounts, receivables, deposits, checks, paper and other rights to payment.

☐ I agree to assign all rights to all property and all other interests, checks, paper and other rights to payment, including, but not limited to, all accounts, receivables, deposits, checks, paper and other rights to payment.

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26044130689

TRIST NATIONAL BANK  
TRIST NATIONAL BANK  
1 BEDFORD STREET  
BEDFORD, CT 06031

## OWNERSHIP OF ACCOUNT - PERSONAL PURPOSE

- INDIVIDUAL ☐  
 JOINT - WITH SURVIVORSHIP (and not be treated in common)  
 JOINT - NO SURVIVORSHIP (as parties in common)  
 TRUST SEPARATE AGREEMENT:

☐ REVOCABLE TRUST DESIGNATION AS DEFINED IN THIS AGREEMENT  
 name and Address of Beneficiary:

## OWNERSHIP OF ACCOUNT - BUSINESS PURPOSE

- SOLE PROPRIETORSHIP  
 CORPORATION. ☐ FOR PROFIT ☐ NOT FOR PROFIT  
 PARTNERSHIP

BUSINESS:  
 COUNTY & STATE  
 OF ORGANIZATION

AUTHORIZATION DATED:

DATE OPENED 07-14-03 BY BARISTE

INITIAL DEPOSIT \$ 300,000.00

☐ CASH ☒ CHECK ☐

HOME TELEPHONE #

BUSINESS PHONE #

OWNER'S LICENSE #

EMPLOYER

MOTHER'S MAIDEN NAME

Name and address of someone who will always know your location:

## BACKUP WITHHOLDING CERTIFICATIONS

TIN

☒ TAXPAYER I.D. NUMBER - The Taxpayer Identification Number shown above (TIN) is my correct taxpayer identification number.

☒ BACKUP WITHHOLDING - I am not subject to backup withholding either because I have not been notified that I am subject to backup withholding as a result of a failure to report all interest or dividends, or the Internal Revenue Service has notified me that I am no longer subject to backup withholding.

☐ EXEMPT RECIPIENTS - I am an exempt recipient under the Internal Revenue Service Regulations.

☐ NONRESIDENT ALIENS - I am not a United States person, or if I am an individual, I am neither a citizen nor a resident of the United States.

SIGNATURE. I certify under penalties of perjury the statements checked in this section.

X

(Date)

## ACCOUNT NUMBER

## ACCOUNT OWNER(S) NAME &amp; ADDRESS

DANN CIORDANO  
 PHILIP CIORDANO  
 157 SOUTHWIND ROAD  
 WATERBURY CT 06708

TYPE OF ACCOUNT  
☐ NEW ☐ EXISTING  
☐ CHECKING ☐ SAVINGS  
☐ MONEY MARKET ☒ CERTIFICATE OF DEPOSIT  
☐ NOW

This is your (check one):

☐ Permanent ☐ Temporary account agreement.

Number of signatures required for withdrawal 1

FACSIMILE SIGNATURE(S) ALLOWED? ☐ YES ☐ NO

[X]

SIGNATURE(S) - THE UNDERSIGNED AGREE(S) TO THE TERMS STATED ON PAGES 1 AND 2 OF THIS FORM, AND ACKNOWLEDGE(S) RECEIPT OF A COMPLETED COPY ON TODAY'S DATE. THE UNDERSIGNED ALSO ACKNOWLEDGE(S) RECEIPT OF A COPY OF AND AGREE(S) TO THE TERMS OF THE FOLLOWING DISCLOSURE(S):

- ☐ Deposit Account Disclosure ☐ Funds Availability Disclosure  
☐ Electronic Funds Transfer Disclosure ☐ TIS Disclosure  
☐

(1): [X]

I.D. #

D.O.B.

(2): [X]

I.D. #

D.O.B.

(3): [X]

I.D. #

D.O.B.

(4): [X]

I.D. #

D.O.B.

☐ Authorized Signer (Individual Accounts Only)

I.D. #

D.O.B.



## ADDITIONAL PROVISIONS

Events of Default. Each of the following occurrences shall constitute an event of default under this Agreement (herein called "Event of Default"): (i) Debtor shall fail to pay any or all of the Obligations when due or (if payable on demand) on demand; (ii) Debtor shall fail to observe or perform any covenant or agreement herein binding on Pledgor; (iii) any representation or warranty by Pledgor set forth in this Agreement or made to Secured Party in any financial statement or report submitted to Secured Party by or on behalf of Debtor shall prove materially false or misleading; (iv) Debtor shall voluntarily file or have voluntarily filed against it a petition under the United States Bankruptcy Code.

Remedies upon Event of Default. Upon the occurrence of an Event of Default and at any time thereafter, Secured Party may exercise any one or more of the following rights or remedies: (i) declare all unmatured Obligations to be immediately due and payable, and the same shall thereupon be immediately due and payable, without presentment or other notice of demand; (ii) exercise all voting and other rights as a holder of the Collateral; (iii) exercise and enforce any or all rights and remedies available upon default to a secured party under the Uniform Commercial Code, including the right to offer and sell the Collateral privately to purchasers who will agree to take the Collateral for investment and not with a view to distribution and who will agree to the imposition of restrictive legends on the certificates representing the Collateral, and the right to arrange for a sale which would otherwise qualify as exempt from registration under the Securities Act of 1933; and if notice to Pledgor of any intended disposition of the Collateral or any other intended action is required by law in a particular instance, such notice shall be deemed commercially reasonable if given at least 10 calendar days prior to the date of intended disposition or other action; (iv) exercise or enforce any or all other rights or remedies available to Secured Party by law or agreement against the Collateral, against Pledgor or against any other person or property. Upon the occurrence of the Event of Default described in Section 4 (iv); all Obligations shall be immediately due and payable without demand or notice thereof.

6. Waivers by Pledgor. Pledgor waives notice of Secured Party's acceptance hereof and notice of the creation, existence and payment or nonpayment of the Obligations. None of the following acts or things (which Secured Party is authorized to do or not to do with or without notice to Pledgor) shall in any way affect or impair the Security Interest or Pledgor's liabilities and obligations hereunder: (a) any extension or renewal (whether or not for longer than the original period) of any or all of the Obligations; (b) any change in the terms of payment or other terms of any or all of the Obligations or any Collateral therefor, or any substitution or exchange of any evidence of any or all of the Obligations or collateral therefor, or any release of any collateral for any or all of the Obligations; (c) any waiver or forbearance granted to Debtor or any other person liable with respect to any or all of the Obligations or any release of, compromise with, or failure to assert rights against Debtor or any such other person; (d) the procurement or failure to procure any other collateral for or guarantors or sureties of any or all of the Obligations; (e) the transfer to any person, at any time, of any interest in any of the Obligations or any collateral therefor; (f) any arrangement, composition, extension, moratorium or other relief granted to Debtor pursuant to any statute now in force or hereafter enacted; (g) any interruption in business relations between Secured Party and Debtor; (h) the failure or neglect to protect or preserve any Obligation or any collateral therefor, or to exercise any right which may be available to Secured Party by law or agreement prior to or after an Event of Default or a default under any other agreement, or any delay in doing any of the foregoing; (i) the failure or neglect to ascertain or assure that the proceeds of any loan to Debtor are used in any particular manner; and (j) the application or failure to apply in any particular manner any payments or credits upon the Obligations.

B. Miscellaneous. Any disposition of the Collateral in the manner provided in Section 5 shall be deemed commercially reasonable. This Agreement can be waived, modified, amended, terminated or discharged, and the Security Interest can be released, only explicitly in a writing signed by Secured Party. A waiver signed by Secured Party shall be effective only in the specific instance and for the specific purpose given. Mere delay or failure to act shall not preclude the exercise or enforcement of any Secured Party's rights or remedies. All rights and remedies of Secured Party shall be cumulative and may be exercised singularly or concurrently, at Secured Party's option, and the exercise or enforcement of any one such right or remedy shall neither be a condition to nor bar the exercise or enforcement of any other. All notices to be given to Pledgor shall be deemed sufficiently given if delivered or mailed by registered or certified mail, postage prepaid, to Pledgor at its address set forth above or at the most recent address shown on Secured Party's records. Secured Party's duty of care with respect to Collateral in its possession (as imposed by law) shall be deemed fulfilled if Secured Party exercises reasonable care in physically safekeeping such Collateral or, in the case of Collateral in the custody or possession of a bailee or other third person, exercises reasonable care in the selection of the bailee or other third person, and Secured Party need not otherwise preserve, protect, insure or care for any Collateral. Secured Party shall not be obligated to preserve any rights Pledgor may have against prior parties, to exercise at all or in any particular manner any voting rights which may be available with respect to any Collateral, to realize on the Collateral at all or in any particular manner or order, or to apply any cash proceeds of Collateral in any particular order of application. Pledgor will reimburse Secured Party for all expenses (including reasonable attorneys' fees and legal expenses) incurred by Secured Party in the protection, defense or enforcement of the Security Interest, including expenses incurred in any litigation or bankruptcy or insolvency proceedings. This Agreement shall be binding upon and inure to the benefit of Pledgor and Secured Party and their respective heirs, representatives, successors and assigns and shall take effect when signed by Pledgor and delivered to Secured Party. Except to the extent otherwise required by law, this Agreement shall be governed by the laws of the state in which it is executed and, unless the context otherwise requires, all terms used herein which are defined in Articles 1 and 9 of the Uniform Commercial Code, as in effect in said state, shall have the meanings therein stated. If any provision or application of this Agreement is held unlawful or unenforceable in any respect, such illegality or unenforceability shall not affect other provisions or applications which can be given effect, and this Agreement shall be construed as if the unlawful or unenforceable provision or application had never been contained herein or prescribed hereby. All representations and warranties contained in this Agreement shall survive the execution, delivery and performance of this Agreement and the creation and payment of the Obligations. If this Agreement is signed by more than one person as Pledgor, the term "Pledgor" shall refer to each of them separately and to both or all of them jointly; all such persons shall be bound both severally and jointly with the other(s); and all property described in Section 1 shall be included as part of the Collateral, whether it is owned jointly by both or all Pledgors or is owned in whole or in part by one (or more) of them.

26041306

RIO NATIONAL BANK  
RIO NATIONAL BANK  
1 BEDFORD STREET  
WATERSURY CT 06708

ACCOUNT  
NUMBER

ACCOUNT OWNER(S) NAME & ADDRESS

DANN GIORRANO  
PHILIP GIORRANO  
357 SOUTHWIND ROAD  
WATERSURY CT 06708

OWNERSHIP OF ACCOUNT - PERSONAL PURPOSE

INDIVIDUAL ☐  
JOINT - WITH SURVIVORSHIP (and not as tenants in common)  
JOINT - NO SURVIVORSHIP (as tenants in common)  
TRUST SEPARATE AGREEMENT:

REVOCABLE TRUST DESIGNATION AS DEFINED IN THIS AGREEMENT  
name and Address of Beneficiary:

TYPE OF ACCOUNT  
☐ NEW ☐ EXISTING  
☐ CHECKING ☐ SAVINGS  
☐ MONEY MARKET ☒ CERTIFICATE OF DEPOSIT  
☐ NOW

This is your (check one):

☐ Permanent ☐ Temporary account agreement.

OWNERSHIP OF ACCOUNT - BUSINESS PURPOSE

SOLE PROPRIETORSHIP  
CORPORATION. ☐ FOR PROFIT ☐ NOT FOR PROFIT  
PARTNERSHIP

BUSINESS:  
COUNTY & STATE  
OF ORGANIZATION:

AUTHORIZATION DATED:

DATE OPENED 07-14-00 BY 001576

INITIAL DEPOSIT \$ 300,000.00

☐ CASH ☒ CHECK ☐

HOME TELEPHONE #

BUSINESS PHONE #

DRIVER'S LICENSE #

EMPLOYER

MOTHER'S MAIDEN NAME

Name and address of someone who will always know your location:

Number of signatures required for withdrawal 1

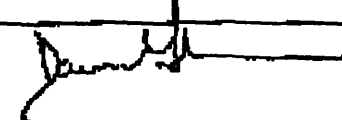
FACSIMILE SIGNATURE(S) ALLOWED? ☐ YES ☐ NO

[X]

SIGNATURE(S) - THE UNDERSIGNED AGREE(S) TO THE TERMS  
STATED ON PAGES 1 AND 2 OF THIS FORM, AND  
ACKNOWLEDGE(S) RECEIPT OF A COMPLETED COPY ON TODAY'S  
DATE. THE UNDERSIGNED ALSO ACKNOWLEDGE(S) RECEIPT OF A  
COPY OF AND AGREE(S) TO THE TERMS OF THE FOLLOWING  
DISCLOSURE(S):

☐ Deposit Account Disclosure ☐ Funds Availability Disclosure  
☐ Electronic Funds Transfer Disclosure ☐ TIS Disclosure  
☐

(1):

[X] 

I.D. #

D.O.B.

(2):

[X] 

I.D. #

D.O.B.

(3):

[X]

I.D. #

D.O.B.

(4):

[X]

I.D. #

D.O.B.

☐ Authorized Signer (Individual Accounts Only)

[X]

I.D. #

D.O.B.

BACKUP WITHHOLDING CERTIFICATIONS

TIN.

☒ TAXPAYER I.D. NUMBER - The Taxpayer Identification  
Number shown above (TIN) is my correct taxpayer identification  
number.

☒ BACKUP WITHHOLDING - I am not subject to backup  
withholding either because I have not been notified that I am  
subject to backup withholding as a result of a failure to report all  
interest or dividends, or the Internal Revenue Service has notified  
me that I am no longer subject to Backup withholding.

☐ EXEMPT RECIPIENTS - I am an exempt recipient under the  
Internal Revenue Service Regulations.

☐ NONRESIDENT ALIENS - I am not a United States person, or  
if I am an individual, I am neither a citizen nor a resident of the  
United States.

SIGNATURE, I certify under penalties of perjury the statements  
checked in this section.

X



(Date)

PATRIOT NATIONAL BANK  
 PATRIOT NATIONAL BANK  
 900 REEFORD STREET  
 STAMFORD, CT 06901

## OWNERSHIP OF ACCOUNT - PERSONAL PURPOSE

- ☐ INDIVIDUAL ☐ \_\_\_\_\_  
☒ JOINT - WITH SURVIVORSHIP (and not as tenants in common)  
☐ JOINT - NO SURVIVORSHIP (as tenants in common)  
☐ TRUST - SEPARATE AGREEMENT:  
☐ REVOCABLE TRUST DESIGNATION AS DEFINED IN THIS AGREEMENT  
 Name and Address of Beneficiary:

## OWNERSHIP OF ACCOUNT - BUSINESS PURPOSE

- ☐ SOLE PROPRIETORSHIP  
☐ CORPORATION: ☐ FOR PROFIT ☐ NOT FOR PROFIT  
☐ PARTNERSHIP  
☐ \_\_\_\_\_

BUSINESS:  
 COUNTY & STATE  
 OF ORGANIZATION:  
 AUTHORIZATION DATED:

DATE OPENED 07-14-00 BY 0013535  
 INITIAL DEPOSIT \$ 306,000.00  
☐ CASH ☒ CHECK ☐ \_\_\_\_\_  
 HOME TELEPHONE # \_\_\_\_\_  
 BUSINESS PHONE # \_\_\_\_\_  
 DRIVER'S LICENSE # \_\_\_\_\_  
 EMPLOYER \_\_\_\_\_  
 MOTHER'S MAIDEN NAME \_\_\_\_\_  
 Name and address of someone who will always know your location: \_\_\_\_\_

## BACKUP WITHHOLDING CERTIFICATIONS

TIN:  
☒ TAXPAYER I.D. NUMBER - The Taxpayer Identification Number shown above (TIN) is my correct taxpayer identification number.

☒ BACKUP WITHHOLDING - I am not subject to backup withholding either because I have not been notified that I am subject to backup withholding as a result of a failure to report all interest or dividends, or the Internal Revenue Service has notified me that I am no longer subject to backup withholding.

☐ EXEMPT RECIPIENTS - I am an exempt recipient under the Internal Revenue Service Regulations.

☐ NONRESIDENT ALIENS - I am not a United States person, or if I am an individual, I am neither a citizen nor a resident of the United States.

SIGNATURE: I certify under penalties of perjury the statements checked in this section.

X [Signature] (Date)

ACCOUNT NUMBER

## ACCOUNT OWNER(S) NAME &amp; ADDRESS

DANN GIOIANNINO  
 TRILIP GIOIANNINO  
 167 SOUTHWIND ROAD  
 WATERBURY CT 06708

TYPE OF ACCOUNT

- ☐ NEW ☐ EXISTING  
☐ CHECKING ☐ SAVINGS  
☐ MONEY MARKET ☒ CERTIFICATE OF DEPOSIT  
☐ NOW ☐ \_\_\_\_\_

This is your (check one):

- ☐ Permanent ☐ Temporary account agreement.

Number of signatures required for withdrawal 1

FACSIMILE SIGNATURE(S) ALLOWED? ☐ YES ☐ NO

[X]

SIGNATURE(S) - THE UNDERSIGNED AGREE(S) TO THE TERMS STATED ON PAGES 1 AND 2 OF THIS FORM, AND ACKNOWLEDGE(S) RECEIPT OF A COMPLETED COPY ON TODAY'S DATE. THE UNDERSIGNED ALSO ACKNOWLEDGE(S) RECEIPT OF A COPY OF AND AGREE(S) TO THE TERMS OF THE FOLLOWING DISCLOSURE(S):

- ☐ Deposit Account Disclosure ☐ Funds Availability Disclosure  
☐ Electronic Funds Transfer Disclosure ☐ TIS Disclosure  
☐ \_\_\_\_\_

(1) [X] [Signature]

I.D. # \_\_\_\_\_ D.O.B. \_\_\_\_\_

(2) [X] [Signature]

I.D. # \_\_\_\_\_ D.O.B. \_\_\_\_\_

(3) [X] \_\_\_\_\_

I.D. # \_\_\_\_\_ D.O.B. \_\_\_\_\_

(4) [X] \_\_\_\_\_

I.D. # \_\_\_\_\_ D.O.B. \_\_\_\_\_

☐ Authorized Signer (Individual Accounts Only)

[X] \_\_\_\_\_

I.D. # \_\_\_\_\_ D.O.B. \_\_\_\_\_

## Third Party Pledge Agreement

DATE As of July 14, 2000

PLEDGOR	Dawn Giordano	SECURED PARTY	Patriot National Bank
BUSINESS OR RESIDENCE ADDRESS	157 Southwind Road	ADDRESS	900 Bedford Street
CITY, STATE & ZIP CODE	Waterbury, CT 06708	CITY, STATE & ZIP CODE	Stanford, CT 06901

## 1. Security Interest and Collateral. To secure (check one):

☐ the payment and performance of each and every debt, liability and obligation of every type and description which ("Debtor") may now or at any time hereafter owe to Secured Party (whether such debt, liability or obligation now exists or is hereafter created or incurred, and whether it is or may be direct or indirect, due or to become due, absolute or contingent, primary or secondary, liquidated or unliquidated, or joint, several or joint and several; all such debts, liabilities and obligations being herein collectively referred to as the "Obligations").

☒ the debt, liability or obligation of Giordano US Senate Committee & Philip Giordano ("Debtor") to Secured Party evidenced by or arising under the following \$ 300,000 Commercial Line of Credit, and any extensions, renewals or replacements thereof (herein referred to as the "Obligations").

Pledgor hereby grants Secured Party a security interest (herein called the "Security Interest") in (check one):

☐ all property of any kind now or at any time hereafter owned by Pledgor, or in which Pledgor may now or hereafter have an interest, which may now be or may at any time hereafter come into the possession or control of Secured Party or into the possession or control of Secured Party's agents or correspondents, whether such possession or control is given for collateral purposes or for safekeeping, together with all proceeds of and other rights in connection with such property (herein called the "Collateral").

☒ the property owned by Pledgor and held by Secured Party that is described as follows: Patriot National Bank Certificate of Deposit, together with all rights in connection with that property (herein called the "Collateral").

## 2. Representations, Warranties and Covenants. Pledgor represents, warrants and covenants that:

(a) Pledgor will duly endorse, in blank, each and every instrument constituting Collateral by signing on said instrument or by signing a separate document of assignment or transfer, if required by Secured Party.

(b) Pledgor is the owner of the Collateral free and clear of all liens, encumbrances, security interests and restrictions, except the Security Interest and any restrictive legend appearing on any instrument constituting Collateral.

(c) Pledgor will keep the Collateral free and clear of all liens, encumbrances and security interests, except the Security Interest.

(d) Pledgor will pay, when due, all taxes and other governmental charges levied or assessed upon or against any Collateral.

(e) At any time, upon request by Secured Party, Pledgor will deliver to Secured Party all notices, financial statements, reports or other communications received by Pledgor as an owner or holder of the Collateral.

(f) Pledgor will upon receipt deliver to Secured Party in pledge as additional Collateral all securities distributed on account of the Collateral such as stock dividends and securities resulting from stock splits, reorganizations and recapitalizations.

3. Rights of Secured Party. Pledgor agrees that Secured Party may at any time, whether before or after the occurrence of an Event of Default and without notice or demand of any kind, (i) notify the obligor on or issue of any Collateral to make payment to Secured Party of any amounts due or distributable thereon, (ii) in Pledgor's name or Secured Party's name enforce collection of any Collateral by suit or otherwise, or surrender, release or exchange all or any part of it, or compromise, extend or renew for any period any obligation evidenced by the Collateral, (iii) receive all proceeds of the Collateral, and (iv) hold any increase or profits received from the Collateral as additional security for the Obligations, except that any money received from the Collateral shall, at Secured Party's option, be applied in reduction of the Obligations, in such order of application as Secured Party may determine, or be remitted to Debtor.

THIS AGREEMENT CONTAINS ADDITIONAL PROVISIONS SET FORTH ON PAGE 2 HEREOF, ALL OF WHICH ARE MADE A PART HEREOF.

Dawn Giordano

By

Title:

By

Title:

26044130694

**Philip Giordano**  
**157 Southwind Road**  
**Waterbury, CT 06708**

Account holder's name and address: "I" means the account holder named above. If there is more than one, "I" means all account holders jointly and each account holder separately.

Date: **As of July 14, 2000**

Assignment of deposit or share account: For value received, I assign and transfer to you, and I give you a security interest in the following account(s):

**Certificate No.**

and any renewals or substitutions. These account(s) will be referred to as the collateral in the rest of this agreement. The collateral is held with:

**Patriot National Bank**  
**900 Bedford Street**  
**Stamford, CT 06901**

which will be referred to as the depository in the rest of this agreement. The collateral includes all funds now in the accounts listed plus all additions of any kind and from any source, made at any time before the release of this agreement in writing.

Secured debt(s): This agreement is made to secure the payment of:

☒ all present and future debts, of every kind and description which:

**Giordano US Senate Committee and**

**Philip Giordano**  
 may now or hereafter owe to you, no matter how or when these debts arise. (We intend this paragraph to be very broad. For example, "debts" include loans or credit purchases, made by or transferred to you, as well as debts arising from any other relationship such as check overdrafts, forgeries, or returned deposits. These also include debts arising from any capacity [maker, co-maker, endorser, surety, guarantor].) If more than one person or entity is listed, then all joint and separate debts of all those listed are secured.

☐ the following described debt(s), plus all extensions, renewals, modifications and substitutions:

**Patriot National Bank**  
**900 Bedford Street**  
**Stamford, Ct 06901**

Secured party's name and address: "You" means the secured party named above, your successors and assigns.

Additional terms: The following terms are also part of this agreement:

- (1) This agreement will last until you release it in writing, and you are not required to release it until the secured debts are paid in full.
- (2) While this agreement is in effect, neither I nor anyone else (except you, the secured party) can withdraw all or any part of the collateral.
- (3) No joint owner, beneficiary, surviving spouse or representative of my estate gets any rights in the collateral in the event of my death or incapacity until the secured debts are paid in full.
- (4) You have the right to withdraw all or any part of the collateral and apply the withdrawal toward the payment of the secured debt(s), even if the withdrawal causes a penalty. If a secured debt is in default you can exercise this right without any notice to me or my co-maker; (unless such notice or consent is required by law and cannot be waived). You have the right to sign my name (or sign your name as my attorney in fact) to exercise the rights given to you in this agreement.
- (5) I represent and promise that no other person or entity has any rights in the collateral that have priority over those I am giving you here and that no part of the collateral is exempt or protected by law from this agreement.
- (6) The rights and remedies I am giving you here are in addition to any stated in any other agreements. If there is more than one debt secured, more than one type of collateral (including collateral outside of this agreement) or more than one debtor liable, it is entirely in your discretion as to the order and timing of remedies you select.
- (7) I neither assume nor am excused from personal liability for any of the secured debts merely by making this agreement; my personal liability will be determined by referring to other documents. I do assume personal liability for the warranties and representations made in this agreement.
- (8) A debt secured by this agreement (whether specifically listed or not) includes all sums that could possibly be due under the debt.
- (9) I specifically request and direct the depository to honor and accept this agreement and its terms.

Signature(s) of account holder(s): By signing here we accept the terms of this agreement and acknowledge receipt of a copy.

**Philip Giordano**

**Notice to depository:**

Date:

To:

☐ This confirms our oral notice dated:

Please take notice of this agreement. Please confirm your receipt of this notice and your acceptance of its terms by completing the acknowledgement portion and returning a copy to the secured party.

By:

For the secured party

**Acknowledgement by the depository:**

Date:

To:

We have received your notice of this agreement. We agree that no account holder or any other person (other than you, the secured party) has any right to make any withdrawals from the collateral until this agreement is released in writing by you.

By:

For the depository

**Release by secured party:**

Date:

To:

This is to advise you that the assignment and security interest in the collateral described above has been released and the original certificate, or passbook or other evidence of the collateral (if any) has been returned to the account holder(s).

By:

For the secured party

Dawn Giordano  
157 Southwind Road

Waverbury, CT 06708

Account holder's name and address: "I" means the account holder named above. If there is more than one, "I" means all account holders jointly and each account holder separately.

Date: /AS of July 14, 2000

Assignment of deposit or share account: For value received, I assign and transfer to you, and I give you a security interest in the following account(s):

Certificate of Deposit No.

and any renewals or substitutions. These account(s) will be referred to as the collateral in the rest of this agreement. The collateral is held with:

Patriot National Bank

900 Bedford Street  
Stamford, CT 06901

which will be referred to as the depository in the rest of this agreement. The collateral includes all funds now in the accounts listed plus all additions of any kind and from any source, made at any time before the release of this agreement in writing.

Secured debt(s): This agreement is made to secure the payment of:  
☒ All present and future debts, of every kind and description which:

Giordano US Senate Committee and

Philip Giordano

may now or hereafter owe to you, no matter how or when these debts arise. (We intend this paragraph to be very broad. For example, "debts" include loans or credit purchases, made by or transferred to you, as well as debts arising from any other relationship such as check overdrafts, forgeries, or returned deposits. These also include debts arising from any capacity [maker, co-maker, endorser, surety, guarantor].) If more than one person or entity is listed, then all joint and separate debts of all those listed are secured.

☐ the following described debt(s), plus all extensions, renewals, modifications and substitutions:

Patriot National Bank

900 Bedford Street  
Stamford, CT 06901

Secured party's name and address: "You" means the secured party named above, your successors and assigns.

Additional terms: The following terms are also part of this agreement:

- (1) This agreement will last until you release it in writing, and you are not required to release it until the secured debts are paid in full.
- (2) While this agreement is in effect, neither I nor anyone else (except you, the secured party) can withdraw all or any part of the collateral.
- (3) No joint owner, beneficiary, surviving spouse or representative of my estate gets any rights in the collateral in the event of my death or incapacity until the secured debts are paid in full.
- (4) You have the right to withdraw all or any part of the collateral and apply the withdrawal toward the payment of the secured debt(s), even if the withdrawal causes a penalty. If a secured debt is in default you can exercise this right without any notice to me or my consent (unless such notice or consent is required by law and cannot be waived). You have the right to sign my name (or sign your name as my attorney in fact) to exercise the rights given to you in this agreement.
- (5) I represent and promise that no other person or entity has any rights in the collateral that have priority over those I am giving you here and that no part of the collateral is exempt or protected by law from this agreement.
- (6) The rights and remedies I am giving you here are in addition to any stated in any other agreements. If there is more than one debt secured, more than one type of collateral (including collateral outside of this agreement) or more than one debtor liable, it is entirely in your discretion as to the order and timing of remedies you select.
- (7) I neither assume nor am excused from personal liability for any of the secured debts merely by making this agreement; my personal liability will be determined by referring to other documents. I do assume personal liability for the warranties and representations made in this agreement.
- (8) A debt secured by this agreement (whether specifically listed or not) includes all sums that could possibly be due under the debt.
- (9) I specifically request and direct the depository to honor and accept this agreement and its terms.

Signature(s) of account holder(s): By signing here we accept the terms of this agreement and acknowledge receipt of a copy.

Dawn Giordano

#### Notice to depository:

Date:

To:

☐ This confirms our oral notice dated.

Please take notice of this agreement. Please confirm your receipt of this notice and your acceptance of its terms by completing the acknowledgement portion and returning a copy to the secured party.

By:

For the secured party

#### Acknowledgement by the depository:

Date:

To:

We have received your notice of this agreement. We agree that no account holder or any other person (other than you, the secured party) has any right to make any withdrawals from the collateral until this agreement is released in writing by you.

By:

For the depository

#### Release by secured party:

Date:

To:

This is to advise you that the assignment and security interest in the collateral described above has been released and the original certificate, or passbook or other evidence of the collateral (if any) has been returned to the account holder(s).

By:

For the secured party

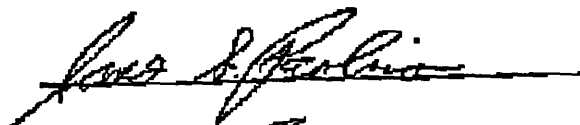
26044130696

permit any subsequent encumbrance of any nature as against the subject premises without the written consent of the Grantee.

NOW, THEREFORE, if the said Grantor, his heirs, executors, administrators, successors and assigns shall well and truly pay the aforesaid obligation or any change, modification, advancement or renewal thereof, and the interest thereon accruing according to the tenor and effect of the obligations, notes and indebtedness, both present and future, from the Grantor to the Grantee, its successors and assigns, and perform all of the several conditions and agreements above recited, then this Deed shall be void, but otherwise shall remain in full force and effect.

IN WITNESS WHEREOF, the Grantor has caused his hands and seals to be affixed this 15<sup>th</sup> day of August, 2000.

Signed, sealed and delivered in the presence of:



  
Philip A. Giordano



  
Dawn Ann Giordano

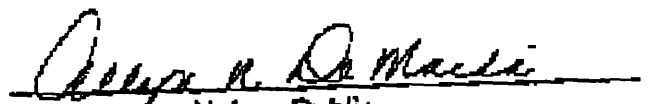
STATE OF CONNECTICUT )

COUNTY OF FAIRFIELD )

) ss: Stamford

August 15, 2000

Personally appeared, Philip A. Giordano and Dawn Ann Giordano, signers and sealers of the foregoing instrument and acknowledged the same to be his/her/their free act and deed, before me.

  
Notary Public  
My commission expires 4/30/01

## Schedule A

All that certain piece or parcel of land with all improvements thereon being shown as Lot #25-E on Map entitled "Section Four, Block "D" .. "E" and K, Coe Acres, Land of Mayfield, Inc. Waterbury, Conn. Sept., 1964" Harry E. Cole, L.S., on file in the Waterbury Town Clerk's Office in Map Book ...., Page ....., Town Clerk's #517079, bounded:

Northerly:	139.42 feet on land now or formerly of Mayfield, Inc.,
Easterly:	40.12 feet and 59.88 feet on Southwind Road, so called;
Southerly:	167.38 feet on Lot #24-E, as shown on said Map;
Westerly:	114.91 feet on Coe Acres, Section One, Block "E", as shown on said Map.

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SCHEDULE B

ENCUMBRANCES

Water and Sewer charges; please call

Mortgage to Metro Mortgage Corporation in the original principal amount of \$124,000.00 dated February 16, 1999 and recorded in Volume 3767 at Page 15 of the Waterbury Land Records.

26044130699

**MORTGAGE DEED**

TO ALL PEOPLE TO WHOM THESE PRESENTS SHALL COME, GREETINGS:

KNOW YE, that the undersigned, PHILIP A. GIORDANO AND DAWN ANN GIORDANO, of the State of Connecticut, hereinafter called the "Grantor", and referred to in the masculine gender, for the consideration of THREE HUNDRED THOUSAND and 00/100 (\$300,000.00) DOLLARS received to his full satisfaction of PATRIOT NATIONAL BANK, a banking institution organized under the laws of the United States of America, having its principal place of business at 800 Bedford Street, Stamford, Connecticut, hereinafter called the "Grantee", does give, grant, bargain, sell and confirm unto the said Grantee, its successors and assigns, the following described premises, together with all buildings and improvements, including all screen doors, storm windows and doors, awnings, heating, plumbing, gas, steam and electrical fixtures and other equipment necessary or incidental to the proper use thereof (hereinafter called the "Service Equipment"), now located on or hereafter placed upon said premises, all of which are hereby declared to be a part of the realty, situated in the City of Waterbury, County Waterbury, all of the State of Connecticut, and more particularly bounded and described on SCHEDULE "A" attached hereto and made a part hereof (hereinafter called the "Mortgaged Property").

TO HAVE AND HOLD the above granted and bargained premises, with the privileges and appurtenances thereof unto the said Grantee, its successors and assigns, forever, to it and their own proper use and behoof. And also the said Grantor does for himself, his heirs, executors, administrators, successors and assigns, covenant that at and until the ensembling of these presents, he is well seized of the Mortgaged Property, as a good indefeasible estate in fee simple and has good right to bargain and sell the same in manner and form as above written, and that the same is free from all encumbrances whatsoever, except any mentioned in SCHEDULE "B" attached hereto and made a part hereof.

AND FURTHERMORE, the said Grantor does by these presents bind himself and his heirs, executors, administrators, successors and assigns forever, to warrant and defend the above granted and bargained premises to the said Grantee, its successors and assigns, against all claims and demands whatsoever, except any above mentioned.

THE CONDITION OF THIS DEED IS SUCH, THAT WHEREAS the said Grantor is justly indebted to the said Grantee in the sum of Three Hundred Thousand and 00/100 (\$300,000.00) DOLLARS as evidenced by a Note of even date herewith made by Giordano US Senate Committee and Philip A. Giordano, for said sum, a copy of which Note is attached hereto and made a part hereof as SCHEDULE "C" and which is hereinafter called the "Note"; and

WHEREAS, the Grantor represents and warrants that he is competent, not under any disability, and has full power and authority to execute and deliver the Note, this

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and all other mortgage instruments or documents required of it to the Grantee,

WHEREAS, the Grantor, in order to more fully protect and preserve the security of this Mortgage, covenants and agrees as follows:

**1. PAYMENT OF INDEBTEDNESS:** The Grantor will pay the indebtedness evidenced by the Note and secured by this Mortgage at the times and in the manner provided in such Note and will otherwise perform and abide by all the terms and conditions of such Note, and default in such performance being hereby declared to be a default under this Mortgage.

**2. PROPERTY TAXES AND ASSESSMENTS:** The Grantor shall pay and discharge as the same become due all taxes, assessments, water and sewer charges and other impositions (except income taxes of the Grantee) which may be levied or assessed upon the Mortgaged Property or any part thereof, and which may be or become a lien prior to the lien of this Mortgage or have priority in payment to the debt secured hereby; and further shall exhibit to the Grantee within ten (10) days after demand certificates or receipts issued by the appropriate authority showing full payment of all such impositions

To facilitate full performance of the foregoing covenants Grantor hereby agrees to pay to the Grantee each month (as and whenever Grantee may elect, from time to time), together with any principal and/or interest payment then due, such sum as may be estimated by the Grantee to be required in order to enable the Grantee to pay all such impositions at least thirty (30) days before they become due. Such added payments shall not be, nor be deemed to be, trust funds, but may be commingled with the general funds of the Grantee, and no interest shall be payable in respect thereto. Upon demand of the Grantee, the Grantor agrees to deliver to the Grantee such additional sums as in the judgment of the Grantee may be necessary to make up any deficiency in the amount needed to enable the Grantee to pay all such impositions. In the event of a default by the Grantor in the performance of any of the terms, covenants, or conditions of the Note or of this Mortgage, the Grantee may apply against the indebtedness secured hereby, in such manner as the Grantee may determine, any funds of the Grantor then in Grantee's possession pursuant to this paragraph.

**3. HAZARD INSURANCE:** The Grantor will keep all the buildings and improvements now erected or hereafter to be erected on the Mortgaged Property, and all Service Equipment, insured for the benefit of the Grantee in an amount to be approved by the Grantee (not to exceed, in the aggregate, one hundred (100%) percent of the full insurable value thereof) against loss or damage by fire and all available extended coverage risks, including war risks, by insurance companies satisfactory to the Grantee, under insurance policies payable in case of loss or damage, to the Grantee as Second

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policies, to the Grantee, and in case of insurance about to expire to deliver to the Grantee renewals, accompanied by evidence of payment of the premium therefor satisfactory to the Grantee not less than thirty (30) days prior to the respective dates of expiration. The Grantor will also maintain in full force and effect with respect to the Mortgaged Property rent insurance or business interruption insurance and such other and/or additional insurance with such insurance companies, under policies in such form and in such amounts as the Grantee may from time to time request and approve in writing and deliver all such policies, including additional and renewal policies to the Grantee as in the case of the above policies. All policies shall contain an agreement by the insurer that the policy shall not be canceled without at least ten (10) days prior written notice to the Grantee.

Should the Grantee, by reason of such insurance, receive any sum or sums of money for damage by fire or the other hazards covered thereby (i) such sum or sums may be retained and applied by the Grantee, in its discretion, toward payment of the indebtedness secured hereby whether or not the same shall be then due or payable; or (ii) may be paid over either in whole or in part to the Grantor for the repair of said building or for the erection of any buildings in their place, or for any other purpose or object satisfactory to the Grantee, and if the Grantee retains and applies said insurance money as aforesaid the lien of this Mortgage shall be affected only by a reduction thereof in an amount equal to the amount of such insurance money so retained and applied as aforesaid.

**4. EMINENT DOMAIN:** In the event that the whole or any part of the Mortgaged Property shall be taken by eminent domain, or in the event of any alteration of the grade of any street or highway, or of any other injury to or decrease in value of the Mortgaged Property, or the reacquisition of the whole or any part of the Mortgaged Property pursuant to the terms of any redevelopment plan (meaning a redevelopment plan as described in the regulations for Housing and Urban Development under the laws of the United States of America) or agreement affecting the Mortgaged Property, or if any agreement shall be made between the Grantor and any entity vested with the power of eminent domain, any and all awards and payments on account thereof shall be deposited with the Grantee. The Grantee shall have the right to intervene and participate in any proceedings for and in connection with any such taking, unless such intervention shall be prohibited by the court having jurisdiction over such taking, in which event the Grantor shall consult with the Grantee in connection with such proceedings; and the Grantor shall not enter into any agreement with regard to the Mortgaged Property or any award or payment on account thereof unless the Grantee shall have consented thereto in writing.

Notwithstanding any such taking, alteration of grade, or other injury to or decrease in value of the Mortgaged Property, or reacquisition of title, or agreement, the Grantor shall continue to pay interest on the principal sum secured hereby at the rate provided in said

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applied by the Grantee toward payment of the indebtedness secured hereby, or be paid over wholly or in part to the Grantor for the purposes of altering or restoring any parts of the Mortgaged Property which may have been damaged as a result of any such taking, alteration of grade, or other injury to the Mortgaged Property or for any other purpose or object satisfactory to the Grantee.

**5. MAINTAINING BUILDING, ETC.:** The Grantor shall maintain the buildings and other improvements on the Mortgaged Property in good condition and repair; will neither commit nor suffer to be committed any waste; and will promptly comply with the requirements of any federal, state, or municipal authority and all other laws, ordinances and regulations respecting said property or the use thereof, and pay any and all fees or charges of any kind in connection therewith. The Grantor shall also perform, observe and comply with all the terms, covenants and conditions on its part to be performed and complied with under any Redevelopment Plan or other agreement governing or restricting the use or enjoyment of the Mortgaged Property.

**6. ALTERATION OR DEMOLITION:** No building or other improvement on the Mortgaged Property shall be structurally altered, removed, or demolished without the Grantee's express prior written consent, nor shall any Service Equipment be removed at any time without like consent unless actually replaced by an article of equal suitability and at least equal value owned by the Grantor, free and clear of any security interest or any reservation of title thereto, other than a security interest granted to Grantee.

**7. ASSIGNMENT OF RENTS:** To further secure the indebtedness secured hereby, Grantor hereby assigns, transfers and sets over to Grantee all of the rents, issues and profits now due or which may hereafter become due from the Mortgaged Property.

The Grantee hereby waives the right to enter upon the Mortgaged Property for the purpose of collecting said rents, issues and profits and acknowledges that the Grantor shall be entitled to collect and receive said rents, issues and profits until the occurrence of an event of default upon the part of the Grantor under any of the terms, covenants and conditions contained in the said Note or this Mortgage, and the Grantor agrees to apply such rents, issues and profits first to the payment of the principal and interest from time to time becoming due on said Note secured hereby and the taxes, assessments, water or sewer charges or other impositions from time to time becoming due against said Mortgaged Property but said right of the Grantor so to collect and receive said rents, issues and profits may be revoked by the Grantee upon any default by the Grantor as aforesaid on five (5) days written notice.

Grantor shall not, without written consent of the Grantee, receive or collect rent from any tenant or any person in possession of the whole or any part of the Mortgaged Property for more than two (2) installments in advance and shall not waive, release, reduce, discount or otherwise discharge or compromise any of said rents. Grantor further agrees that he will not assign any of the rents, issues and profits of said Mortgaged Property, except to a purchaser or grantee of the Mortgaged Property.

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Nothing in this Paragraph 7 contained, and no exercise by the Grantee of its rights hereunder, shall be deemed to constitute Grantee a mortgagee in possession in the absence of any actual entry into and taking of possession of the Mortgaged Property pursuant to Paragraph 8 hereof.

The foregoing rights given Grantee are intended to be complimentary to any rights given Grantee under a separate assignment of lease from the Grantor to Grantee, and shall be construed accordingly.

**8. RIGHT TO ENTER PREMISES:** In case of default in the performance of or compliance with the terms, covenants and conditions set forth in said Note and this Mortgage, the Grantee shall have the right forthwith and without notice to enter into and upon the said premises, take possession thereof, and collect the rents, issues and profits therefrom, with or without appointment of a receiver, and to apply the same, after payment of reasonable collection, management and attorney's fees, in reduction of the indebtedness secured hereby in such manner or proportion as the Grantee may elect.

**9. EVENTS OF DEFAULT:** That the whole of said principal sum and interest shall become due at the option of the Grantee, (a) after default in the payment of any installment of principal or interest for ten (10) days; (b) after default in the payment of any tax, assessment, water or sewer charge or other assessment or imposition, for thirty (30) days after notice and demand; (c) upon failure, after notice and demand, either to assign and deliver the insurance policies hereinbefore required, or to reimburse the Grantee for premiums paid on such insurance; (d) if, upon application of the Grantee (made pursuant to Paragraph 11 hereafter) two or more fire insurance companies lawfully doing business in the State of Connecticut, refuse to issue policies insuring the buildings on the premises; (e) after the actual or threatened commission or sufferance of waste, or the structural alteration, demolition or removal of any buildings on the Mortgaged Property without the prior written consent of the Grantee; (f) in the event of the removal, sale or destruction of any Service Equipment, unless the same shall be promptly replaced by similar Service Equipment of equal suitability and at least equal value free and clear of any security interest or any reservation of title thereto, other than the security interest of Grantee; (g) after default, in furnishing to the Grantee within ten (10) days after demand, a duly executed and acknowledged statement of the amount of principal and interest then due on this Mortgage, and whether offsets or defenses exist against the mortgage debt, (h) after thirty (30) days' notice to the Grantor, in the event of the passage of any law, federal, state or local, in any way changing or affecting the taxation of mortgages or mortgage debts, or the collection of any such taxes; (i) after default by the Grantor in performing, observing or complying with any of the terms, covenants and conditions of any Redevelopment Plan or agreement to be performed or complied with by the Grantor; (j) if the Grantor shall file a petition in voluntary bankruptcy or under Chapter X or Chapter XI of the Federal Bankruptcy Act or similar law, state or federal whether now or hereafter existing, or any

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Grantor or for all of its property or the major part thereof in any involuntary proceedings, or any court shall have taken jurisdiction of the property of the Grantor or the major part thereof, in any involuntary proceeding for the reorganization, dissolution, liquidation, or winding up of the Grantor, and such trustee or receiver shall not be discharged or such jurisdiction relinquished or vacated or stayed on appeal or otherwise stayed within ten (10) days; or (1) the Grantor shall make an assignment for the benefit of creditors, or shall admit in writing its inability to pay its debts generally as they become due, or shall consent to the appointment of a receiver or a trustee or liquidator of all its property or the major part thereof; (m) after continued default in the observance or performance of any other term, condition, covenant or agreement hereinbefore or hereinafter contained or contained in any separate assignment of leases given the Grantee by the Grantor for ten (10) days after notice thereof. In the event the Grantor shall default in the payment of any installment of interest and principal for ten (10) days, or any installment of taxes, the Grantee may collect a "late charge" not to exceed an amount equal to five (5%) percent of the aggregate of any such installment of interest, principal and taxes to cover the additional expenses involved in handling such delinquent installment.

**10. APPOINTMENT OF RECEIVER:** The Grantee shall have the right immediately after any default, upon proceedings being commenced for the foreclosure of this Mortgage, to apply for the appointment of a receiver of the rents and profits of the said Mortgaged Property without notice, and the Grantee shall be entitled to the appointment of such receiver as a matter of right, without consideration of the value of the Mortgaged Property as security for the amounts due the Grantee, or the solvency of any person or persons liable for the payment of such amounts.

**11. GRANTEE'S RIGHT TO PROTECT SECURITY:** If the Grantor shall fail to insure the Mortgaged Property or to assign and deliver the policies to the Grantee, or shall fail to pay the taxes, assessments, water and sewer charges and other impositions hereinabove provided, or shall fail to make any payment or to perform or comply with any of the terms, covenants and conditions herein contained, then the Grantee, without obligation so to do and without notice, to or demand upon the Grantor, and without releasing the Grantor from any obligation hereunder, may procure such insurance, make such payments, and do such acts as it may deem necessary to protect the security hereof; and the Grantor shall repay any sums so expended by the Grantee, together with interest at the rate of four (4%) percent in excess of the rate then in effect under the Note, and the same shall be liens on the Mortgaged Property and secured by this Mortgage.

**12. MODIFICATION OR EXTENSION:** Grantor agrees that upon the request of Grantee they will sign any and all appropriate modification documents to reflect changes in the terms of the Note secured by this Mortgage with respect to the accrual of interest and monthly principal and interest payments thereunder. Failure of the Grantor to sign such modification documents after said request by the Grantee shall constitute a default of the Grantor under the Note which this Mortgage secures.

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13. **TIME OF THE ESSENCE:** Time and punctuality shall be of the essence of this instrument, but no delay or failure of Grantee to enforce any of the provisions herein contained and no conduct or oral statement of Grantee shall waive or affect any of the Grantee's rights hereunder.

14. **NO MARSHALING:** The Grantee or its assigns shall not be compelled to release, or be prevented from foreclosing or enforcing this Mortgage upon all or any part of the Mortgaged Property unless the entire indebtedness shall be paid in full as aforesaid, and shall not be required to accept any part or parts of the said Mortgaged Property, as distinguished from the whole thereof, as payment of or upon the said indebtedness to the extent of the value of such part or parts; and shall not be compelled to accept or allow any apportionment of the said debt to or among any separate parts of the said Mortgaged Property. In case of a foreclosure sale, the Mortgaged Property, at the Grantor's election, may be sold in one parcel.

15. **RIGHT TO INSPECT:** The Grantee and any persons authorized by the Grantee shall have the right to enter and inspect the Mortgaged Property at all reasonable times.

16. **TRANSFER OF OWNERSHIP:** The entire indebtedness shall be due and payable at the option of the Grantee, upon or at any time after a sale or conveyance of the Mortgaged Property by the Grantor or any subsequent owner, without the prior written consent of the Grantee, which sale or conveyance shall constitute a default under the Mortgage. The Grantor shall give prior written notice to the Grantee of any such proposed sale, conveyance or transfer.

17. **NOTICES:** Notice and demand or request may be made in writing and may be served in person or by first class mail postage prepaid. Any such requirement shall be deemed met by any written notice and demand or request either (i) personally served on one (1) or more of the persons who shall at the time hold the record title to the Mortgaged Property; or (ii) mailed by depositing it in any post office, first class postage prepaid.

18. **WAIVER OF LIENS:** The Grantor shall furnish to the Grantee all such waivers and releases of liens or claims upon any equipment as the Grantee may require, and shall keep and maintain the Mortgaged Property free from the claim of all persons supplying labor or materials in connection with the construction or repair of any building on the Mortgaged Property notwithstanding by whom such labor or materials may have been contracted. If any mechanic's lien is filed against the Mortgaged Property, the Grantor shall cause the same to be canceled and discharged of record within thirty (30) days after the date of filing thereof.

19. **PROTECTION OF LIEN:** The Grantor shall pay all costs, expenses and counsel fees incurred by the Grantor in protecting or sustaining the lien of this Mortgage. The Grantor shall save the Grantee harmless from all such costs and expenses, including,

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but not limited to, counsel fees, recording fees and costs of a title search, continuation of abstract and preparation of survey, incurred by reason of any action, suit, proceeding, hearing, motion or application before any court or administrative proceedings, as well as any other proceedings wherein proof of claim is required to be filed or in which it becomes necessary, in the Grantee's sole opinion, to defend or uphold the terms and priority of this Mortgage. All money paid or expended by the Grantor in that regard, together with interest thereon from date of such payment at the rate of interest per annum stated in the Note shall be additional indebtedness, secured hereby, and shall be immediately and without notice due and payable to the Grantee by the Grantor.

**20. ESTOPPEL CERTIFICATE:** Grantor upon request, made either personally or by mail, shall certify, by a writing duly acknowledged, to the Grantee or to any proposed assignee of this Mortgage, the amount of principal and interest then owing on this Mortgage and whether any offsets or defenses exist against the indebtedness secured hereby, within six (6) days if the request is made personally, or within ten (10) days after the mailing of such request if the request is made by mail.

**21. WAIVER OF RIGHTS:** THE GRANTOR ACKNOWLEDGES THAT THE TRANSACTION OF WHICH THIS MORTGAGE IS A PART IS A COMMERCIAL TRANSACTION, AND HEREBY VOLUNTARILY AND KNOWINGLY WAIVES ITS RIGHT TO NOTICE AND HEARING UNDER CHAPTER 903a OF THE CONNECTICUT GENERAL STATUTES, OR AS OTHERWISE ALLOWED BY THE LAW OF ANY STATE OR FEDERAL LAW WITH RESPECT TO ANY PREJUDGMENT REMEDY WHICH THE GRANTOR MAY DESIRE TO USE. Further, the Grantor hereby waives, to the extent permitted by law, the benefits of all valuation, appraisalment, homestead exemption, stay, redemption and moratorium laws, now in force or which may hereafter become laws.

**22. CONSTRUCTION, ETC.:** This Mortgage may not be changed or terminated orally. The rights and covenants contained in this Mortgage shall run with the land and bind the Grantor and its successors and assigns and all subsequent owners, encumbrances, tenants, and subtenants of the Mortgaged Property, and shall inure to the benefit of the Grantee and its successors and assigns and all subsequent holders of this Mortgage. The word "Grantor" shall be construed as if it read "Grantors" and the word "Grantee" shall be construed as if it read "Grantees" whenever the sense of this Mortgage so requires.

**23. DEFAULT UNDER OTHER AGREEMENTS:** In the event Grantor, at any time during the term of this Mortgage, is in default upon any other agreement or financing arrangement with Grantee, whether now existing or hereinafter arising, default under such other agreement or financing arrangement shall constitute a default under this Mortgage Deed and all other loan documents relative hereto.

**24. NO FURTHER BORROWINGS:** The Grantor shall not borrow any additional funds secured by Mortgage or Lien of any other nature on the premises secured by this Mortgage without the prior written consent of the Grantee, nor shall the Grantor


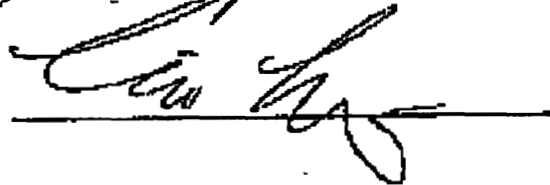
26044130707



permit any subsequent encumbrance of any nature as against the subject premises without the written consent of the Grantee.

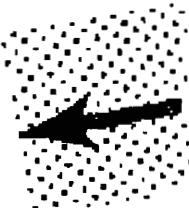
NOW, THEREFORE, if the said Grantor, his heirs, executors, administrators, successors and assigns shall well and truly pay the aforesaid obligation or any change, modification, advancement or renewal thereof, and the interest thereon accruing according to the tenor and effect of the obligations, notes and indebtedness, both present and future, from the Grantor to the Grantee, its successors and assigns, and perform all of the several conditions and agreements above recited, then this Deed shall be void, but otherwise shall remain in full force and effect.

IN WITNESS WHEREOF, the Grantor has caused his hands and seals to be affixed this 15<sup>th</sup> day of August, 2000.

Signed, sealed and delivered in the presence of:

  
Philip A. Giordano  
  
Dawn Ann Giordano




STATE OF CONNECTICUT )

) ss: Stamford

August 15, 2000

COUNTY OF FAIRFIELD )

Personally appeared, Philip A. Giordano and Dawn Ann Giordano, signers and sealers of the foregoing instrument and acknowledged the same to be his/her/their free act and deed, before me.

  
Notary Public  
My commission expires 4/30/01

## Schedule A

All that certain piece or parcel of land with all improvements thereon being shown as Lot 125-E on Map entitled "Section Four, Block "D" .. "E" and K, Coe Acres, Land of Mayfield, Inc. Waterbury, Conn. Sept., 1964" Harry E. Cole, L.S., on file in the Waterbury Town Clerk's Office in Map Book ...., Page ....., Town Clerk's 1517079, bounded:

Northerly:	139.42 feet on land now or formerly of Mayfield, Inc.,
Easterly:	40.12 feet and 59.88 feet on Southwind Road, so called;
Southerly:	167.38 feet on Lot 124-E, as shown on said Map;
Westerly:	114.91 feet on Coe Acres, Section One, Block "E", as shown on said Map.

26044130709

SCHEDULE B

ENCUMBRANCES

Water and Sewer charges; please call

Mortgage to Metro Mortgage Corporation in the original principal amount of \$124,000.00 dated February 16, 1999 and recorded in Volume 3767 at Page 15 of the Waterbury Land Records.

26044130710



FEDERAL ELECTION COMMISSION  
WASHINGTON D.C. 20463

RQ-2

James S. Paolino, Treasurer  
Giordano for United States Senate  
PO Box 1026  
Waterbury, CT 06722

Identification Number: C00353862

SEP 19 2000

Reference: April Quarterly Report (1/01/00-3/31/00)

Dear Mr. Paolino:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Schedule A of your report discloses a contribution(s) which appears to exceed the limits set forth in the Act (copies attached). You should examine all of your contributions to check for additional excessives. The Committee's procedures for processing contributions should also be reviewed.

An individual or a political committee other than a qualified multicandidate committee may not make a contribution to a candidate for federal office in excess of \$1,000 per election. A qualified multicandidate committee and all affiliated committees may not make a contribution(s) to a candidate for federal office in excess of \$5,000 per election. The term "contribution" includes any gift, subscription, loan, advance, or deposit of money or anything of value made by any person for the purpose of influencing any election for federal office. (2 U.S.C. §441a(a) and (f); 11 CFR §110.1(b), (e) and (k))

If the contribution(s) in question was not completely or correctly reported, you should amend your original report using the new or corrected information. If the contribution(s) exceeds the limits, you should either refund to the donor the amount in excess of \$1,000 or request a written redesignation and/or reattribution of the contribution(s) from the donor. All

26044130711

## GIORDANO FOR UNITED STATES SENATE

PAGE 2

refunds, redesignations, and reattributions must be made within sixty days of receipt of the contribution. Copies of refund checks and copies of letters reattributing or redesignating the contributions in question may be used to respond to this letter. Refunds are reported on Line 20 of the Detailed Summary Page and on a supporting Schedule B of the report covering the period in which they are made. Redesignations and reattributions are reported as memo entries on Schedule A of the report covering the period in which the authorization for the redesignation and/or reattribution is received. (11 CFR §104.8(d)(2), (3) and (4))

The acceptance of excessive contributions is a serious problem. Again, the committee's procedures for processing contributions should be examined and corrected in order to avoid this problem. Although the Commission may take further legal action, prompt action by you to refund or seek redesignation and/or reattribution of the excessive amount will be considered.

-On the Detailed Summary Page, Line 24 of the cash summary should equal the Column A total for Line 16. Please correct this discrepancy and file an amendment to your report.

-Line 11(a)(i), Column A, of the Detailed Summary Page, discloses \$55,900 in receipts. Schedule A supporting Line 11(a)(i) discloses \$55,000 in receipts. These figures should be the same. Please correct this discrepancy and file an amendment to your report. (11 CFR §104.3)(a))

-Please provide a Schedule B to support the amount reported on Line 19(b), Column A, of the Detailed Summary Page. Each loan payment made by the committee must be itemized on a supporting Schedule B, regardless of the amount of the payment. (11 CFR §104.3(b)(4)(iii) and (iv))

-On Schedule B of your report, you have itemized disbursements for which you have failed to include the address or complete address. Please amend your report to include the missing information. (11 CFR §104.3(b)(4))

-Schedule C-1 of your report fails to include certain information. Commission Regulations require the certification of an official from the lending institution. Please amend your report to include this information. (11 CFR §104.3(d)(1)(v))

26044130712

GIORDANO FOR UNITED STATES SENATE

PAGE 3

-Your report contains a Schedule C-1 but does not include a copy of the loan agreement. Commission Regulations require that you submit a copy of the loan agreement with the Schedule C-1. Please submit the missing documents. 11 CFR §104.3(d)(2)

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Secretary of the Senate, 232 Hart Senate Office Building, Washington, DC 20510 within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530. (at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694-1130.

Sincerely,



Pat Sheppard  
Assistant Branch Chief  
Reports Analysis Division

404

26044130713

Name of Committee (in Full)

Giordano Congressional Exploratory Committee / Giordano U.S. Senate

A. Full Name, Mailing Address and ZIP Code of Loan Source

Patriot National Bank  
900 Bedford Street  
Stamford, CT 06101

Original Amount  
of Loan

\$200,000

Cumulative Payment  
To Date

809.68

Balance Outstanding  
at Close of This Period

@ 199,190.

Election: ☐ Primary ☒ General ☐ Other (specify):

Terms: Date Incurred 1/25/00 Date Due 1/25/01 Interest Rate 10 % (april)

☒ Secured

List All Endorsers or Guarantors (if any) to Item A

1. Full Name, Mailing Address and ZIP Code

Philip A. Giordano  
157 Southampton Rd  
Middletown, CT 06708

Name of Employer

City of Middletown / self

Occupation

Mayor / Lawyer

Amount Guaranteed Outstanding:

\$ 200,000

2. Full Name, Mailing Address and ZIP Code

Salvatore Trovato  
14 Field Day Lane  
East Northport, N.Y. 11731

Name of Employer

Tiocom Co.

Occupation

Owner

Amount Guaranteed Outstanding:

\$

3. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

B. Full Name, Mailing Address and ZIP Code of Loan Source

Original Amount  
of Loan

Cumulative Payment  
To Date

Balance Outstanding  
at Close of This Period

Election: ☐ Primary ☐ General ☐ Other (specify):

Terms: Date Incurred Date Due Interest Rate % (april)

☐ Secured

List All Endorsers or Guarantors (if any) to Item B

1. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

2. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

3. Full Name, Mailing Address and ZIP Code

Name of Employer

Occupation

Amount Guaranteed Outstanding:

\$

SUBTOTALS This Period This Page (optional)

TOTALS This Period (last page in this line only)

Carry outstanding balance only to LINE 3, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.

26044130714



**LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS**

NAME OF COMMITTEE (IN FULL)		FEC IDENTIFICATION NUMBER	
FULL NAME, MAILING ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER)		AMOUNT OF LOAN	INTEREST RATE (APR)
		DATE INCURRED OR ESTABLISHED	DATE DUE
A. Has loan been restructured? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, date originally incurred: _____			
B. If line of credit, amount of this draw: _____; total outstanding balance: _____			
C. Are other parties secondarily liable for the debt incurred? <input type="checkbox"/> No <input type="checkbox"/> Yes (Endorsers and guarantors must be reported on Schedule C.)			
D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, specify: _____			
What is the value of this collateral? _____			
Does the lender have a perfected security interest in it? <input type="checkbox"/> No <input type="checkbox"/> Yes			
E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, specify: _____ What is the estimated value? _____			
A depository account must be established pursuant to 11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account established: _____ Location of account: _____			
F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment. _____			
G. COMMITTEE TREASURER			DATE
TYPED NAME		SIGNATURE	
H. Attach a signed copy of the loan agreement.			
I. TO BE SIGNED BY THE LENDING INSTITUTION: I. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above. II. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness. III. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.			
AUTHORIZED REPRESENTATIVE		TITLE	DATE
TYPED NAME		SIGNATURE	

26044130715

Attachment 8



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

RQ-3

October 12, 2000

James S. Paolino, Treasurer  
Giordano for United States Senate  
P.O. Box 1026  
Waterbury, CT 06722

Identification Number: C00353862

Reference: April Quarterly (1/01/00-3/31/00) and July Quarterly (4/01/00-6/30/00)  
Reports

Dear Mr. Paolino:

This letter is to inform you that as of October 11, 2000, the Commission has not received your response to our requests for additional information dated September 19, 2000. These notices request information essential to full public disclosure of your federal election campaign finances. To ensure compliance with the provisions of the Federal Election Campaign Act (the Act), please respond to these requests (copies enclosed).

An adequate response must be received at the Commission by November 1, 2000. Adequate responses received on or before this date will be taken into consideration in determining whether audit action will be initiated. Requests for extensions of time in which to respond will not be considered. Failure to provide an adequate response by this date may result in an audit of the committee. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action.

If you should have any questions regarding this matter, please contact Pat Sheppard on our toll-free number (800) 424-9530 (at the prompt press 1, then press 2 to reach the Reports Analysis Division) or our local number (202) 694-1130.

Sincerely,

John D. Gibson  
Assistant Staff Director  
Reports Analysis Division

Enclosures

26044130716



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

RQ-2

James S. Paolino, Treasurer  
Giordano for United States Senate  
PO Box 1026  
Waterbury, CT 06722

Identification Number: C00353862

SEP 19 2000

Reference: July Quarterly Report (4/01/00-6/30/00)

Dear Mr. Paolino:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Line 10 of the Summary Page of your report discloses \$0 in outstanding obligations. Schedule C of your report discloses \$200,000 in outstanding loans. Please correct this discrepancy and file an amendment to your report. (11 CFR §104.3(d))

-Line 11(a)(i), Column A, of the Detailed Summary Page, discloses \$22,325 in receipts. Schedule A supporting Line 11(a)(i) discloses \$21,325 in receipts. These figures should be the same. Please correct this discrepancy and file an amendment to your report. (11 CFR §104.3(a))

-Please provide a Schedule B to support the amount reported on Line 19(a), Column A, of the Detailed Summary Page. Each loan payment made by the committee must be itemized on a supporting Schedule B, regardless of the amount of the payment. (11 CFR §104.3(b)(4)(iii) and (iv))

-Please provide a Schedule A, C, C-1 and Loan Agreement to support the amount reported on Line 13(a) of the Detailed Summary Page. Each person who makes a loan to your committee or to the candidate acting as an agent of the committee must be reported on Schedule A and Schedule C. The itemization on Schedule A must include the person's full name, mailing address and zip code, along with the name of his/her employer, the date of

26044130717

GIORDANO FOR UNITED STATES SENATE  
PAGE 2

the contribution/loan and the aggregate year-to-date amount of contributions made by the person. Schedule C must include any endorser or guarantor of the loan, the date the loan was made and all other terms of the loan.

If the loan is from the candidate, you must indicate if it is from his/her personal funds. (11 CFR §104.3(a)(4)(iv))

On Schedule A of this report, you have not itemized all of the necessary contributor information. You must provide the date, aggregate year-to-date total, election designation, amount of contribution, and partnership attribution (if necessary) for each itemized receipt. (11 CFR §104.3(a)(4)(i)) Please amend your report to include the aggregate year-to-date totals.

Commission Regulations require that a committee disclose the identification of all individuals who contribute in excess of \$200 in a calendar year. (11 CFR §104.3(a)(4)(i)) Identification for an individual is defined as the full name, mailing address, occupation and name of employer. (11 CFR §100.12) Your report discloses contributions from individuals for which the identification is not complete.

You must provide the missing information, or if you are unable to do so, you must demonstrate that "best efforts" have been used to obtain the information. To establish "best efforts," you must provide the Commission with a detailed description of your procedures for requesting the information. Establishing "best efforts" is a three-fold process.

First, your original solicitation must include a clear and conspicuous request for the contributor information and must inform the contributor of the requirements of federal law for the reporting of such information. (11 CFR §104.7(b)(1))

Second, if the information is not provided, you must make one follow-up, stand alone effort to obtain this information, regardless of whether the contribution(s) was solicited or not. This effort must occur no later than 30 days after receipt of the contribution and may be in the form of a written request or an oral request documented in writing. (11 CFR § 104.7(b)(2))

26044130718

GIORDANO FOR UNITED STATES SENATE

PAGE 3

The request must:

- clearly ask for the missing information, without soliciting a contribution;
- inform the contributor of the requirements of federal law for the reporting of such information, and
- if the request is written, include a pre-addressed post card or return envelope.

Third, if you receive contributor information after the contribution(s) has been reported, you shall either a) file with your next regularly scheduled report, an amended memo Schedule A listing all the contributions for which additional information was received; or b) file on or before your next regularly scheduled reporting date, amendments to the report(s) originally disclosing the contribution(s) (11 CFR §104.7(b)(4))

Please provide the missing information or a detailed description of your procedures for requesting the information. For more information on demonstrating "best efforts," please refer to the Campaign Guide.

-On Schedule B of your report, you have itemized disbursements for which you have failed to include the address or complete address. Please amend your report to include the missing information. (11 CFR §104.3(b)(4))

-Commission Regulations define the term "purpose" to mean a brief statement or description of why a disbursement was made. Examples are "dinner expense", "media", "salary", "polling", "travel", "party fees", "phone banks", "travel expenses", "travel expense reimbursement" and "catering costs". Examples of election day and voter registration activity include "exit polling", "door-to-door get out the vote", "get out the vote phone calls" and "driving voters to the polls". Unacceptable descriptions, which require additional clarification, include but are not limited to "advance", "consulting", "commission", "contract labor", "election day expense", "expenses", "other expenses", "expense reimbursement", "miscellaneous", "outside services", "get-out-the-vote" and "voter registration". (11 CFR § 104.3(b)(4) Please amend Schedule B of your report to correct the descriptions which do not meet the requirements of the Regulations.

-Schedule C of your report fails to include information required by Commission Regulations. You must provide the date incurred, the original source and amount of the loan, the due date, the interest rate, the cumulative

26044130719

GIORDANO FOR UNITED STATES SENATE

PAGE 4

payment, and the outstanding balance. In addition, if there are any endorsers or guarantors, their mailing address along with the name of their employer and occupation must be disclosed. Please amend your report to include all omitted information. (11 CFR §§100.7(a)(1) and 104.3(d))

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Secretary of the Senate, 232 Hart Senate Office Building, Washington, DC 20510 within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530. (at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694-1130.

Sincerely,

A handwritten signature in black ink that reads "Pat Sheppard". The signature is fluid and cursive, with the first name "Pat" and last name "Sheppard" clearly legible.

Pat Sheppard  
Assistant Branch Chief  
Reports Analysis Division

404

26044130720

**LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS**

NAME OF COMMITTEE (IN FULL)		FEC IDENTIFICATION NUMBER	
FULL NAME, MAILING ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER)		AMOUNT OF LOAN	INTEREST RATE (APR)
		DATE INCURRED OR ESTABLISHED	DATE DUE
A. Has loan been restructured? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, date originally incurred: _____			
B. If line of credit, amount of this draw: _____; total outstanding balance: _____			
C. Are other parties secondarily liable for the debt incurred? <input type="checkbox"/> No <input type="checkbox"/> Yes (Endorsers and guarantors must be reported on Schedule C.)			
D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, specify: _____			
What is the value of this collateral? _____			
Does the lender have a perfected security interest in it? <input type="checkbox"/> No <input type="checkbox"/> Yes			
E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, specify: _____ What is the estimated value? _____			
A depository account must be established pursuant to 11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account established: _____ Location of account: _____			
F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment. _____ _____			
G. COMMITTEE TREASURER		DATE	
TYPED NAME		SIGNATURE	
H. Attach a signed copy of the loan agreement			
I. TO BE SIGNED BY THE LENDING INSTITUTION: I. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above. II. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness. III. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.			
AUTHORIZED REPRESENTATIVE		DATE	
TYPED NAME		SIGNATURE	



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

RQ-3

October 12, 2000

James S. Paolino, Treasurer  
Giordano for United States Senate  
P.O. Box 1026  
Waterbury, CT 06722

Identification Number: C00353862

Reference: April Quarterly (1/01/00-3/31/00) and July Quarterly (4/01/00-6/30/00)  
Reports

Dear Mr. Paolino:

This letter is to inform you that as of October 11, 2000, the Commission has not received your response to our requests for additional information dated September 19, 2000. These notices request information essential to full public disclosure of your federal election campaign finances. To ensure compliance with the provisions of the Federal Election Campaign Act (the Act), please respond to these requests (copies enclosed).

An adequate response must be received at the Commission by November 1, 2000. Adequate responses received on or before this date will be taken into consideration in determining whether audit action will be initiated. Requests for extensions of time in which to respond will not be considered. Failure to provide an adequate response by this date may result in an audit of the committee. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action.

If you should have any questions regarding this matter, please contact Pat Sheppard on our toll-free number (800) 424-9530 (at the prompt press 1, then press 2 to reach the Reports Analysis Division) or our local number (202) 694-1130.

Sincerely,

A handwritten signature in dark ink, appearing to read "John D. Gibson".

John D. Gibson  
Assistant Staff Director  
Reports Analysis Division

Enclosures

26044130722





FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

RQ-2

James S. Paolino, Treasurer  
Giordano for United States Senate  
PO Box 1026  
Waterbury, CT 06722

Identification Number: C00353862

SEP 19 2000

Reference: July Quarterly Report (4/01/00-6/30/00)

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This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

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-Line 11(a)(i), Column A, of the Detailed Summary Page, discloses \$22,325 in receipts. Schedule A supporting Line 11(a)(i) discloses \$21,325 in receipts. These figures should be the same. Please correct this discrepancy and file an amendment to your report. (11 CFR §104.3)(a))

-Please provide a Schedule B to support the amount reported on Line 19(a), Column A, of the Detailed Summary Page. Each loan payment made by the committee must be itemized on a supporting Schedule B, regardless of the amount of the payment. (11 CFR §104.3(b)(4)(iii) and (iv))

-Please provide a Schedule A, C, C-1 and Loan Agreement to support the amount reported on Line 13(a) of the Detailed Summary Page. Each person who makes a loan to your committee or to the candidate acting as an agent of the committee must be reported on Schedule A and Schedule C. The itemization on Schedule A must include the person's full name, mailing address and zip code, along with the name of his/her employer, the date of

26044130723

GIORDANO FOR UNITED STATES SENATE  
PAGE 2

the contribution/loan and the aggregate year-to-date amount of contributions made by the person. Schedule C must include any endorser or guarantor of the loan, the date the loan was made and all other terms of the loan.

If the loan is from the candidate, you must indicate if it is from his/her personal funds. (11 CFR §104.3(a)(4)(iv))

-On Schedule A of this report, you have not itemized all of the necessary contributor information. You must provide the date, aggregate year-to-date total, election designation, amount of contribution, and partnership attribution (if necessary) for each itemized receipt. (11 CFR §104.3(a)(4)(i)) Please amend your report to include the aggregate year-to-date totals.

-Commission Regulations require that a committee disclose the identification of all individuals who contribute in excess of \$200 in a calendar year. (11 CFR §104.3(a)(4)(i)) Identification for an individual is defined as the full name, mailing address, occupation and name of employer. (11 CFR §100.12) Your report discloses contributions from individuals for which the identification is not complete.

You must provide the missing information, or if you are unable to do so, you must demonstrate that "best efforts" have been used to obtain the information. To establish "best efforts," you must provide the Commission with a detailed description of your procedures for requesting the information. Establishing "best efforts" is a three-fold process.

First, your original solicitation must include a clear and conspicuous request for the contributor information and must inform the contributor of the requirements of federal law for the reporting of such information. (11 CFR §104.7(b)(1))

Second, if the information is not provided, you must make one follow-up, stand alone effort to obtain this information, regardless of whether the contribution(s) was solicited or not. This effort must occur no later than 30 days after receipt of the contribution and may be in the form of a written request or an oral request documented in writing. (11 CFR § 104.7(b)(2))

26044130724

**GIORDANO FOR UNITED STATES SENATE  
PAGE 3**

The request must:

- clearly ask for the missing information, without soliciting a contribution;
- inform the contributor of the requirements of federal law for the reporting of such information, and
- if the request is written, include a pre-addressed post card or return envelope.

Third, if you receive contributor information after the contribution(s) has been reported, you shall either a) file with your next regularly scheduled report, an amended memo Schedule A listing all the contributions for which additional information was received; or b) file on or before your next regularly scheduled reporting date, amendments to the report(s) originally disclosing the contribution(s). (11 CFR §104.7(b)(4))

Please provide the missing information or a detailed description of your procedures for requesting the information. For more information on demonstrating "best efforts," please refer to the Campaign Guide.

-On Schedule B of your report, you have itemized disbursements for which you have failed to include the address or complete address. Please amend your report to include the missing information. (11 CFR §104.3(b)(4))

-Commission Regulations define the term "purpose" to mean a brief statement or description of why a disbursement was made. Examples are "dinner expense", "media", "salary", "polling", "travel", "party fees", "phone banks", "travel expenses", "travel expense reimbursement" and "catering costs". Examples of election day and voter registration activity include "exit polling", "door-to-door get out the vote", "get out the vote phone calls" and "driving voters to the polls". Unacceptable descriptions, which require additional clarification, include but are not limited to "advance", "consulting", "commission", "contract labor", "election day expense", "expenses", "other expenses", "expense reimbursement", "miscellaneous", "outside services", "get-out-the-vote" and "voter registration". (11 CFR § 104.3(b)(4)) Please amend Schedule B of your report to correct the descriptions which do not meet the requirements of the Regulations.

-Schedule C of your report fails to include information required by Commission Regulations. You must provide the date incurred, the original source and amount of the loan, the due date, the interest rate, the cumulative

26044130725

**GIORDANO FOR UNITED STATES SENATE  
PAGE 4**

payment, and the outstanding balance. In addition, if there are any endorsers or guarantors, their mailing address along with the name of their employer and occupation must be disclosed. Please amend your report to include all omitted information. (11 CFR §§100.7(a)(1) and 104.3(d))

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Secretary of the Senate, 232 Hart Senate Office Building, Washington, DC 20510 within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530. (at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694-1130.

Sincerely,



Pat Sheppard  
Assistant Branch Chief  
Reports Analysis Division

404

26044130726

**SCHEDULE C-1**  
**Federal Election Commission**  
**Washington, D.C. 20463**

Supplementary for Information  
 found on Page \_\_\_ of Schedule C

**LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS**

NAME OF COMMITTEE (IN FULL)		FED IDENTIFICATION NUMBER	
FULL NAME, MAILING ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER)		AMOUNT OF LOAN —	INTEREST RATE (APR)
		DATE INCURRED OR ESTABLISHED	DATE DUE
A. Has loan been restructured? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, date originally incurred: _____			
B. If line of credit, amount of this draw: _____; total outstanding balance: _____			
C. Are other parties secondarily liable for the debt incurred? <input type="checkbox"/> No <input type="checkbox"/> Yes (Endorsers and guarantors must be reported on Schedule C.)			
D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, specify: _____ What is the value of this collateral? _____ Does the lender have a perfected security interest in it? <input type="checkbox"/> No <input type="checkbox"/> Yes			
E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, specify: _____ What is the estimated value? _____ A depository account must be established pursuant to 11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account established: _____ Location of account: _____			
F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment. _____			
G. COMMITTEE TREASURER			DATE
TYPED NAME		SIGNATURE	
H. Attach a signed copy of the loan agreement.			
I. TO BE SIGNED BY THE LENDING INSTITUTION: I. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above. II. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness. III. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.			
AUTHORIZED REPRESENTATIVE		TITLE	DATE
TYPED NAME		SIGNATURE	

ATTACHMENT #11 HAS BEEN REMOVED

26044130728

Name of Committee (in Full)

Giordano for U.S. Senate

A Full Name, Mailing Address and ZIP Code of Loan Source		Original Amount of Loan	Cumulative Payment To Date	Balance Outstanding at Close of This Period
Patriot National Bank 900 Bedford Street Stamford, CT 06901		300,000.00	-0-	300,000.00
Election: Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):				

Terms	Date Incurred <u>7/14/00</u>	Date Due <u>4/01</u>	Interest Rate <u>6.07</u> % (april)	<input checked="" type="checkbox"/> Secured
-------	------------------------------	----------------------	-------------------------------------	---

List All Endorsers or Guarantors (if any) to Item A			
1 Full Name, Mailing Address and ZIP Code	Name of Employer		
	City of Waterbury		
	Occupation		
	Mayor		
	Amount Guaranteed Outstanding		
	\$ 300,000.00		
2 Full Name, Mailing Address and ZIP Code	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding		
3 Full Name, Mailing Address and ZIP Code	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding		

B Full Name, Mailing Address and ZIP Code of Loan Source		Original Amount of Loan	Cumulative Payment To Date	Balance Outstanding at Close of This Period
Election: Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):				

Terms	Date Incurred	Date Due	Interest Rate	% (april)	Secured
-------	---------------	----------	---------------	-----------	---------

List All Endorsers or Guarantors (if any) to Item B			
1 Full Name, Mailing Address and ZIP Code	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding		
2 Full Name, Mailing Address and ZIP Code	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding		
3 Full Name, Mailing Address and ZIP Code	Name of Employer		
	Occupation		
	Amount Guaranteed Outstanding		

SUBTOTALS This Period This Page (optional)

TOTALS This Period (last page in this line only)

Carry outstanding balance only to LINE 3, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.



CLERK OF THE SENATE  
OFFICE - 100 S. 100

**Philip A. Giordano**  
for  
**United States Senate**

*Senate Clerks Office*  
~~Federal Elections Commission~~

232 Hart Senate Building  
Washington, DC 20510

October 28, 2000

Identification number: C00353862

To whom it may concern:

This letter is in response to a letter received the FEC dated September 19, 2000. The attached, packet is to be considered an amendment to the April and July quarterly reports. I hope that this adequately clarifies these (2) two filings.

The Giordano Congressional Exploratory Committee was formed during the first quarter of this year. The committee attempted to enter into an agreement of indebtedness in the amount of \$200,000 in February of 2000. Due to a misunderstanding, both on the part of our campaign and Patriot National bank, the loan was made in violation of FEC rules. The Giordano Exploratory Committee became aware of its mistake and reported their mistake to the FEC. The Committee made every possible effort to correct both the loan and the FEC reports. At the same time, the committee also intended to change its status and become a regular candidate committee (Giordano for U.S. Senate). In doing so, the committee acquired a new treasurer. The July quarterly report is the end of the Exploratory Committee and the start of the Senate Committee. During this period the loan was corrected as to FEC requirements and also increased its indebtedness to \$300,000. This loan was secured with one half of a certificate of deposit held jointly by Mr. and Mrs. Giordano, on half of the equity in Mr. and Mrs. Giordano's jointly held home, and cash on deposit in the Senate Committee account. The bank was satisfied that this was adequate collateral for this line of credit. I am under the impression that this also satisfies FEC requirements. The certificate of deposit was originally a family gift given to the Giordano family. The timing of the gift coincided with a financial event with the family. It was not related to the Senate committee and would have happened regardless of the Senate race.

Additionally, a letter from the FEC also requested some information not included in our April and July quarterly reports. First, as explained above, Mr. Travoto was intended to collateralize the Committees line of credit. His name was included to show that his name was included on the bank

P.O. Box 2360, Waterbury, CT 06724  
(203) 757-9984 • fax (203) 756-8397

★ ★ ★ ★ [www.giordano2000.com](http://www.giordano2000.com) ★ ★ ★ ★

Told for by the Giordano For United States Senate Committee, Michael Sturtevant, Treasurer

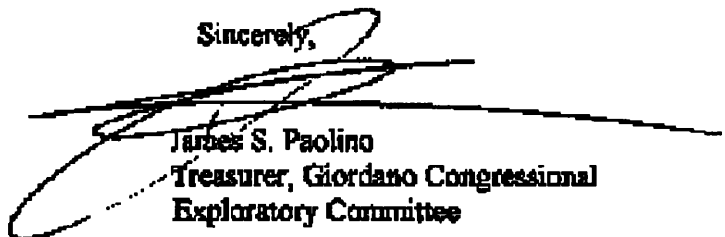
26044130730



documents that were completed in error. The actual loan, completed in July 2000, does not include Mr. Travoto. This is the current and final disposition of the loan as it stands today. Therefore, the loan does not exceed donation limits. Second, all numbers listed on the reports have been clarified to the best of our ability. Third, any supporting documents not originally included, that were available, have been included. Lastly, donor information not included on the previous reports has been included.

I hope that this clarifies our previous reports and also provides the additional information required. If you have any questions, please feel free to contact our headquarters at (203) 757-8884. Thank you.

Sincerely,

A handwritten signature in black ink, appearing to read 'James S. Paolino', is written over a horizontal line. The signature is stylized with a large, sweeping flourish that extends to the right.

James S. Paolino  
Treasurer, Giordano Congressional  
Exploratory Committee

26044130731

## GIORDANO CONGRESSIONAL EXPLORATORY COMMITTEE

To whom it may concern,

This exploratory committee entered into a debt obligation to Patriot National Bank in the amount of \$200,000. The Giordano for U.S. Senate has assumed this obligation in anticipation of the termination of this exploratory committee. All further information pertaining to this obligation can be found in the appropriate records for that committee. Please feel free to contact me with any question.



James S. Paulino  
Treasurer

26044130732

LOANS

Page 1 of 1  
LINE NUMBER  
(Use separate schedules  
for each numbered line)

Value of Collateral (to Full)

*Gior dano Cong. Exp. Comm.*

A. Full Name, Mailing Address and ZIP Code of Loan Source <i>Patriot National Bank 600 Bedford St. Stamford, CT 06901</i>	Original Amount of Loan <i>200,000</i>	Cumulative Payment To Date <i>605.44 8373.73</i>	Balance Outstanding at Close of This Period <i>199,190. 191,626.27</i>
--	---	---	---

Terms: Date Incurred \_\_\_\_\_ Date Due \_\_\_\_\_ Interest Rate \_\_\_\_\_ % (apr) ☐ Secured

List All Endorsers or Guarantors (if any) to Item A

1. Full Name, Mailing Address and ZIP Code <i>Philip A. Gior dano 157 Southwind Rd. Waterbury, CT 06708</i>	Name of Employer <i>City of waterbury</i>	Amount Guaranteed Outstanding \$ <i>200,000</i>
	Occupation <i>mayor</i>	
2. Full Name, Mailing Address and ZIP Code <i>Salvatore Trovato 14 Field Day Ave East Northport, N.Y. 11731</i>	Name of Employer <i>TroCom Co.</i>	Amount Guaranteed Outstanding \$
	Occupation <i>owner</i>	
3. Full Name, Mailing Address and ZIP Code	Name of Employer	Amount Guaranteed Outstanding \$
	Occupation	

B. Full Name, Mailing Address and ZIP Code of Loan Source

Election Primary ☐ General ☐ Other (specify) \_\_\_\_\_

Terms: Date Incurred \_\_\_\_\_ Date Due \_\_\_\_\_ Interest Rate \_\_\_\_\_ % (apr) ☐ Secured

List All Endorsers or Guarantors (if any) to Item B


1. Full Name, Mailing Address and ZIP Code	Name of Employer	Amount Guaranteed Outstanding \$
	Occupation	
2. Full Name, Mailing Address and ZIP Code	Name of Employer	Amount Guaranteed Outstanding \$
	Occupation	
3. Full Name, Mailing Address and ZIP Code	Name of Employer	Amount Guaranteed Outstanding \$
	Occupation	

SUBTOTALS This Period This Page (optional) \_\_\_\_\_

TOTALS This Period (last page in this line only) \_\_\_\_\_


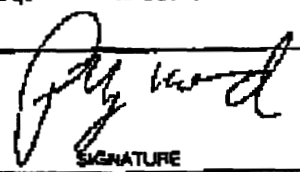
Carry outstanding balance only to LINE 4, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.

LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS

NAME OF COMMITTEE (IN FULL) <u>Giordano Cong. Exp. Comm.</u>		FEC IDENTIFICATION NUMBER	
FULL NAME, MAILING ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER)		AMOUNT OF LOAN <u>200,000</u>	INTEREST RATE (APR) <u>10%</u>
		DATE INCURRED OR ESTABLISHED <u>2/25/00</u>	DATE DUE <u>2/25/01</u>
A. Has loan been restructured? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes, date originally incurred: _____			
B. If line of credit, amount of this draw _____; total outstanding balance: <u>\$199,000</u>			
C. Are other parties secondarily liable for the debt incurred? <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/> Yes (Endorsers and guarantors must be reported on Schedule C.)			
D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If yes, specify: <u>Cash on deposit</u>			
What is the value of this collateral? <u>\$200,000</u>			
Does the lender have a perfected security interest in it? <input type="checkbox"/> No <input type="checkbox"/> Yes			
E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If yes, specify: <u>Future Contributions</u> What is the estimated value? <u>200,000 @</u>			
A depository account must be established pursuant to 11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account established: <u>2/25/00</u> Location of account: <u>Patrit National Bank</u>			
F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment.			
G. COMMITTEE TREASURER		DATE	
TYPED NAME <u>James S. Paulino</u> SIGNATURE 		<u>4</u>	
H. Attach a signed copy of the loan agreement.			
I. TO BE SIGNED BY THE LENDING INSTITUTION: I. To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above. II. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness. III. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.			
AUTHORIZED REPRESENTATIVE		TITLE	DATE
TYPED NAME _____ SIGNATURE _____			

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LOANS AND LINES OF CREDIT FROM LENDING INSTITUTIONS

NAME OF COMMITTEE (IN FULL) <u>Giordano Congressional Exploration Com.</u>		FEC IDENTIFICATION NUMBER <u>COO353862</u>	
FULL NAME, MAILING ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER) <u>Patriot National Bank</u> <u>900 Bedford St.</u> <u>Stamford, CT 06901</u>		AMOUNT OF LOAN <u>200,000</u>	INTEREST RATE (APR) <u>10%</u>
		DATE INCURRED OR ESTABLISHED <u>2/25/00</u>	DATE DUE <u>2/25/01</u>
A. Has loan been restructured? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes, date originally incurred: _____			
B. If line of credit, amount of this draw: <u>200,000</u> ; total outstanding balance: <u>@199,000</u>			
C. Are other parties secondarily liable for the debt incurred? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes (Endorsers and guarantors must be reported on Schedule C.)			
D. Are any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, certificates of deposit, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If yes, specify: <u>C</u>			
What is the value of this collateral? _____			
Does the lender have a perfected security interest in it? <input type="checkbox"/> No <input type="checkbox"/> Yes			
E. Are any future contributions or future receipts of interest income, pledged as collateral for the loan? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If yes, specify: <u>contributions/future income</u> What is the estimated value? <u>200,000</u>			
A depository account must be established pursuant to 11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account established: <u>2/25/00</u> Location of account: <u>Patriot National Bank</u>			
F. If neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment.			
G. COMMITTEE TREASURER TYPED NAME <u>James S. Poolino</u> SIGNATURE 			DATE
H. Attach a signed copy of the loan agreement.			
I. TO BE SIGNED BY THE LENDING INSTITUTION: I. To the best of this Institution's knowledge, the terms of the loan and other information regarding the extension of the loan are accurate as stated above. II. The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness. III. This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.			
AUTHORIZED REPRESENTATIVE TYPED NAME <u>Philip W. Wafors</u> SIGNATURE 		TITLE <u>COF/President</u>	

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EDULE D

and 3/801

## TS AND OBLIGATIONS

## Excluding Loans

LINE NUMBER  
(Use separate schedules  
for each numbered line)

of Committee (in Full)

of Jano Com. Explanatory Comm.

Outstanding  
Balance Beginning  
This PeriodAmount  
Incurred  
This PeriodPayment  
This  
PeriodOutstanding  
Balance at Close  
of This Period

A. Full Name, Mailing Address and ZIP Code of Debtor or Creditor

N/A.

Nature of Debt (Purpose):

B. Full Name, Mailing Address and ZIP Code of Debtor or Creditor

Patriot National Bank  
900 Bedford St.  
Stamford, CT

700,000

700,000

Nature of Debt (Purpose):

C. Full Name, Mailing Address and ZIP Code of Debtor or Creditor

Nature of Debt (Purpose):

D. Full Name, Mailing Address and ZIP Code of Debtor or Creditor

Nature of Debt (Purpose):

E. Full Name, Mailing Address and ZIP Code of Debtor or Creditor

Nature of Debt (Purpose):

F. Full Name, Mailing Address and ZIP Code of Debtor or Creditor

Nature of Debt (Purpose):

1) SUBTOTALS This Period This Page (optional)

2) TOTALS This Period (last page in this line only)

3) TOTAL OUTSTANDING LOANS from Schedule C (last page only)

4) ADD 2) and 3) and carry forward to appropriate line of Summary Page (last page only)

ATTACHMENT #13 (PAGE 8) HAS BEEN REMOVED

26044130737

**GIORDANO  
FOR  
U.S. SENATE**

CLERK OF THE SENATE  
NOV 27 2000

November 27, 2000

Dear Senate Clerk,

In order to complete amendments to our July quarterly report, per your request please find the attached documents. I hope this adequately answers your questions. In reference to your request for schedules C and C-1, please reference documents already in your position dated July 14, 2000 addressed to Lisa Simpson c/o FEC. Also, to clarify the date confusion on certain documents, final loan documents were completed and returned to us by Patriot National Bank in July, moneys had already been received in conjunction with the original loan agreement, which was revised to reflex changes in the loan application.

If you have any questions concerning these documents please feel free to contact me at (203) 578-0131.

Sincerely,



James S. Paolino  
Giordano for U.S. Senate

26044130738





FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

RQ-2

Michael Blumenthal, Treasurer  
Giordano for United States Senate  
P.O. Box 2360  
Waterbury, CT 06724

JUL 3 2001

Identification Number: C00353862

Reference: Amended July Quarterly Report (4/1/00-6/30/00), dated 8/21/00

Dear Mr. Blumenthal:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Schedule C and Schedule C-1 of your report disclose a loan(s) which appears to exceed the limits set forth in the Act. An individual, including a candidate's spouse, may not make contributions and/or loans to a candidate for federal office in excess of \$1,000 per election. On Schedule C-1 of your report, it appears that the loan(s) was secured by property and collateral based on joint assets owned by both the candidate and spouse. Please note that the candidate's spouse is not considered a contributor as long as the candidate's share of the collateral equals or exceeds the amount of the loan. Please file an amendment to your report to clarify the following information:

- the name and address of the lending institution
- the interest rate
- whether or not the loan was secured
- the due date or amortization schedule
- brief description of the collateral or property used as a basis for the loan
- the owners of the collateral or the property used as a basis for the loan

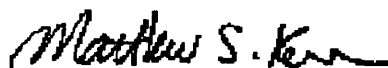
- the type of ownership of such property (e.g., tenants by the entireties, joint tenants, tenants in common, etc.)
- the percentage of such property owned by each owner
- value of such property
- the names of all signatories on both the security instrument and the commercial note
- the capacity in which each signatory signed (e.g., co-maker, endorser, guarantor)

If the contribution(s) in question was not completely or correctly reported, you should amend your original report using the correct information. If the contribution(s) exceeds the limits, you should either refund to the donor the amount in excess of \$1,000 or request a written redesignation and/or reattribution of the contribution(s) in writing from the donor. All refunds, redesignations, and reattributions must be made within sixty days of receipt of the contribution. Copies of refund checks and copies of letters reattributing or redesignating the contributions in question may be used to respond to this letter. Refunds and repayments are reported on Line 20 or Line 19, respectively, of the Detailed Summary Page and on a supporting Schedule B of the report covering the period in which they are made. Redesignations and reattributions are reported as memo entries on Schedule A of the report covering the period in which the authorization for the redesignation and/or reattribution is received. (11 CFR §§100.7, 100.8, 110.1, and 104.8(d)(2), (3) and (4))

Although the Commission may take further legal action, prompt action by you to refund or seek redesignation and/or reattribution will be considered.

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Secretary of the Senate, 232 Hart Senate Office Building, Washington, DC 20510 within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530. (at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694-1130.

Sincerely,



Matthew S. Kern  
Reports Analyst  
Reports Analysis Division

20020273019

SCHEDULE B

ENCUMBRANCES

mk

Water and Sewer charges; please call

Mortgage to Metro Mortgage Corporation in the original principal amount of \$124,000.00 dated February 16, 1999 and recorded in Volume 3767 at Page 15 of the Waterbury Land Records.

26044130741

3-25-2000 11:22  
 20483

PATRIOT NATIONAL BANK

921.4732

P.02

## LOANS AND LINES OF CREDIT FROM LENDING INSTITUTION

NAME	PAC IDENTIFICATION NUMBER	
Adams Friseman	C00353862	
ADDRESS AND ZIP CODE OF LENDING INSTITUTION (LENDER)	AMOUNT OF LOAN	INTEREST RATE (APR)
Patriot National Bank 10 Bedford Street TAMFORD CT 06401	\$300,000	8.07%
	DATE INCURRED OR ESTABLISHED	DATE DUE
	July 14, 2000	2-29-01

Can be restructured? ☐ No ☒ Yes If yes, date originally incurred: 2-24-00

of credit, amount of this draw: : total outstanding balance: \$300,000.00

Other parties secondarily liable for the debt incurred?

☐ Yes (Endorsers and guarantors must be reported on Schedule C.)

Any of the following pledged as collateral for the loan: real estate, personal property, goods, negotiable instruments, notes or deposits, chattel papers, stocks, accounts receivable, cash on deposit, or other similar traditional collateral?

☒ Yes If yes, specify: Certificate of Deposit - Hartford, 157 Southwind Lane, Waterbury, CT

What is the value of this collateral? \$250,000

Does the lender have a perfected security interest in it?

☐ No ☒ Yes

Any future contributions or future receipts of interest income, pledged as collateral for the loan?

☒ Yes If yes, specify: \$50,000 What is the estimated value?

Depository account must be established pursuant to 11 CFR 100.7(b)(11)(i)(B) and 100.8(b)(12)(i)(B). Date account

established: 6-14-00 Location of account: STAMFORD CT

neither of the types of collateral described above was pledged for this loan, or if the amount pledged does not equal or exceed the loan amount, state the basis upon which this loan was made and the basis on which it assures repayment.

1/A

COMMITTEE TREASURER

DATE

ED NAME

SIGNATURE

Attach a signed copy of the loan agreement.

## TO BE SIGNED BY THE LENDING INSTITUTION:

- To the best of this institution's knowledge, the terms of the loan and other information regarding the extension of credit are accurate as stated above.
- The loan was made on terms and conditions (including interest rate) no more favorable at the time than those imposed for similar extensions of credit to other borrowers of comparable credit worthiness.
- This institution is aware of the requirement that a loan must be made on a basis which assures repayment, and has complied with the requirements set forth at 11 CFR 100.7(b)(11) and 100.8(b)(12) in making this loan.

ED REPRESENTATIVE

TITLE

DATE

Philip W. Welford

Chief operating officer

8-28-00

NAME SIGNATURE

12/01

JRSU  
2002072993

LOANS

(for each numbered line)

continue (in Full)

## Giordano for U.S. Senate

A. Full Name, Mailing Address and ZIP Code of Loan Source Patriot National Bank 900 Bedford St. Stamford, CT	Original Amount of Loan 300,000	Cumulative Payment To Date	Balance Outstanding at Close of This Period 300,000
Election: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify): Terms: Date Incurred _____ Date Due _____ Interest Rate _____ % (APR) <input type="checkbox"/> Secured			

List All Endorsers or Guarantors (if any) to Item A

1. Full Name, Mailing Address and ZIP Code Philip A. Giordano 157 Southwind Rd. Waterbury, CT 06708	Name of Employer City of Waterbury Occupation Mayor Amount Guaranteed Outstanding: \$300,000		
2. Full Name, Mailing Address and ZIP Code N/A	Name of Employer Occupation Amount Guaranteed Outstanding: \$		
3. Full Name, Mailing Address and ZIP Code	Name of Employer Occupation Amount Guaranteed Outstanding: \$		

B. Full Name, Mailing Address and ZIP Code of Loan Source	Original Amount of Loan	Cumulative Payment To Date	Balance Outstanding at Close of This Period
Election: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify): Terms: Date Incurred _____ Date Due _____ Interest Rate _____ % (APR) <input type="checkbox"/> Secured			

List All Endorsers or Guarantors (if any) to Item B

1. Full Name, Mailing Address and ZIP Code	Name of Employer Occupation Amount Guaranteed Outstanding: \$		
2. Full Name, Mailing Address and ZIP Code	Name of Employer Occupation Amount Guaranteed Outstanding: \$		
3. Full Name, Mailing Address and ZIP Code	Name of Employer Occupation Amount Guaranteed Outstanding: \$		

E: TOTALS This Period This Page (optional)

TOTALS This Period (last page in this line only)

Carry outstanding balance only to LINE 2, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.

20044130743



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20543

RQ-3

July 26, 2001

Thomas Ariola, Treasurer  
Giordano for United States Senate  
P.O. Box 2360  
Waterbury, CT 06724

Identification Number: C00353862

Reference: Amended July Quarterly Report (4/1/00-6/30/00), dated 8/21/00

Dear Mr. Ariola:

On July 3, 2001 you were notified that a review of the above-referenced report(s) raised questions as to specific contributions and/or expenditures, and the reporting of certain information required by the Federal Election Campaign Act.

The Commission is in receipt of your letter dated July 18, 2001. An adequate response must be received at the Commission by August 15, 2001. Adequate responses received on or before this date will be taken into consideration in determining whether audit action will be initiated. Requests for extensions for time in which to respond will not be considered. Failure to provide an adequate response by this date may result in an audit of the committee. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action.

If you should have any questions related to this matter, please contact Matthew Kern on our toll-free number (800) 424-9530 (a the prompt press 1, then press 2 to reach the Reports Analysis Division) or our local number (202) 694-1130.

Sincerely,

A handwritten signature in dark ink, appearing to read "John D. Gibson".

John D. Gibson  
Assistant Staff Director  
Reports Analysis Division

26044130744



FEDERAL ELECTION COMMISSION  
WASHINGTON, D C 20463

RQ-2

Thomas M. Ariola, Jr., Treasurer  
Giordano for United States Senate  
P.O. Box 2360  
Waterbury, CT 06724

JUL 3 2001

Identification Number: C00353862

Reference: October Quarterly Report (7/1/00-9/30/00)

Dear Mr. Ariola:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Your report discloses contribution(s) which appears to be from a corporation (pertinent portion attached). A contribution from a corporation is prohibited by the Act, unless it is made from a separate segregated fund established by the corporation. (2 U.S.C. §441b(a) and 11 CFR §103.3(b))

If the contribution(s) in question was not completely or correctly reported, you should amend your original report with the corrected information. If the contribution is from a corporation, you should refund the full amount to the donor and notify the Commission of such action. The refund must be made within thirty days of the treasurer becoming aware of the impermissibility of the contribution. (11 CFR §103.3(b)(2)) Copies of refund checks for the contribution(s) in question may be used to respond to this letter. The refund should be reported on a Schedule B supporting Line 20(a) of the report covering the period in which the refund is made. (11 CFR §104.8(d)(4))

Although the Commission may take further legal action, prompt action by you to refund the prohibited amount will be considered.

-Schedule A of your report discloses a contribution(s) which appears to

26044130745

## GIORDANO FOR UNITED STATE SENATE

PAGE 2

exceed the limits set forth in the Act (copies attached). You should examine all of your contributions to check for additional excessives. The Committee's procedures for processing contributions should also be reviewed.

An individual or a political committee other than a qualified multicandidate committee may not make a contribution to a candidate for federal office in excess of \$1,000 per election. A qualified multicandidate committee and all affiliated committees may not make a contribution(s) to a candidate for federal office in excess of \$5,000 per election. The term "contribution" includes any gift, subscription, loan, advance, or deposit of money or anything of value made by any person for the purpose of influencing any election for federal office. (2 U.S.C. §441a(a) and (f); 11 CFR §110.1(b), (e) and (k))

If the contribution(s) in question was not completely or correctly reported, you should amend your original report using the new or corrected information. If the contribution(s) exceeds the limits, you should either refund to the donor the amount in excess of \$1,000 or request a written redesignation and/or reattribution of the contribution(s) from the donor. All refunds, redesignations, and reattributions must be made within sixty days of receipt of the contribution. Copies of refund checks and copies of letters reattributing or redesignating the contributions in question may be used to respond to this letter. Refunds are reported on Line 20 of the Detailed Summary Page and on a supporting Schedule B of the report covering the period in which they are made. Redesignations and reattributions are reported as memo entries on Schedule A of the report covering the period in which the authorization for the redesignation and/or reattribution is received. (11 CFR §104.8(d)(2), (3) and (4))

The acceptance of excessive contributions is a serious problem. Again, the committee's procedures for processing contributions should be examined and corrected in order to avoid this problem. Although the Commission may take further legal action, prompt action by you to refund or seek redesignation and/or reattribution of the excessive amount will be considered.

-Commission Regulations require that a committee disclose the identification of all individuals who contribute in excess of \$200 in a

26044130746



## GIORDANO FOR UNITED STATE SENATE

PAGE 3

calendar year. (11 CFR §104.3(a)(4)(i)) Identification for an individual is defined as the full name, mailing address, occupation and name of employer. (11 CFR §100.12) Your report discloses contributions from individuals for which the identification is not complete.

You must provide the missing information, or if you are unable to do so, you must demonstrate that "best efforts" have been used to obtain the information. To establish "best efforts," you must provide the Commission with a detailed description of your procedures for requesting the information. Establishing "best efforts" is a three-fold process.

First, your original solicitation must include a clear and conspicuous request for the contributor information and must inform the contributor of the requirements of federal law for the reporting of such information. (11 CFR §104.7(b)(1))

Second, if the information is not provided, you must make one follow-up, stand alone effort to obtain this information, regardless of whether the contribution(s) was solicited or not. This effort must occur no later than 30 days after receipt of the contribution and may be in the form of a written request or an oral request documented in writing. (11 CFR § 104.7(b)(2))

The request must:

- clearly ask for the missing information, without soliciting a contribution;
- inform the contributor of the requirements of federal law for the reporting of such information, and
- if the request is written, include a pre-addressed post card or return envelope.

Third, if you receive contributor information after the contribution(s) has been reported, you shall either a) file with your next regularly scheduled report, an amended memo Schedule A listing all the contributions for which additional information was received; or b) file on or before your next regularly scheduled reporting date, amendments to the report(s) originally disclosing the contribution(s). (11 CFR §104.7(b)(4))

Please provide the missing information or a detailed description of your procedures for requesting the information. For more information on demonstrating "best efforts," please refer to the Campaign Guide.

26044130747

GIORDANO FOR UNITED STATE SENATE

PAGE 4

-You should provide a total on Line 10 of the Summary Page that discloses all outstanding debts and obligations owed by your committee.

-Column B figures for the Summary and Detailed Summary Pages should equal the sum of the Column B figures on your previous report and the Column A figures on this report. Please file an amendment to your report to correct the Column B discrepancies for Line(s) 6(c), 11(a)(iii), 19(c), 22 and all subsequent report(s) which may be affected by this correction. Note that Column B should reflect only the year-to-date totals for the calendar year 2000.

-Line 11(a)(iii), Column A of the Detailed Summary Page, does not equal the sum of Line 11(a)(i) and Line 11(a)(ii). Please correct this discrepancy and file an amendment to your report. (11 CFR §104.3(a))

-Contributions from individuals and persons other than political committees must be itemized if the aggregate total from the contributor exceeds \$200 in a calendar year. This means that the committee does not have a reporting requirement of a contribution until the aggregate total exceeds the \$200 threshold (2 U.S.C. §434(b)(3)). Should a committee wish to disclose contributions that do not require itemization, it must do so on a separate Schedule A and report the total amount of unitemized contributions on Line 11(a)(ii) of the Detailed Summary Page. (11 CFR §104.3(a)(4)(i))

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Secretary of the Senate, 232 Hart Senate Office Building, Washington, DC 20510 within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530. (at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694 1130.

Sincerely,



Matthew S. Kern  
Reports Analyst  
Reports Analysis Division

EDULE A

## ITEMIZED RECEIPTS

200203

42343

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

PAGE 45 OF

FOR LINE NUMBE

Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

## NAME OF COMMITTEE (in Full)

Giordano for U.S. Senate

<b>A. Full Name, Mailing Address and ZIP Code</b> Mark C. Capanna 16 R. Bronson Road Prospect, CT 06712  Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	<b>Name of Employer</b>   <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 500.00	<b>Date (month, day, year)</b> 8/30/00	<b>Amount of Each Receipt This Period</b> \$500.00
<b>B. Full Name, Mailing Address and ZIP Code</b> Melissa Cocchiola 565 Jefferson Drive, 101 Deerfield Beach, FL 33442  Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	<b>Name of Employer</b>   <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 1000.00	<b>Date (month, day, year)</b> 8/31/00	<b>Amount of Each Receipt This Period</b> \$1000.00
<b>C. Full Name, Mailing Address and ZIP Code</b> Christopher Errichetti  Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	<b>Name of Employer</b>   <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 350.00	<b>Date (month, day, year)</b> 9/1/00	<b>Amount of Each Receipt This Period</b> 350.00
<b>D. Full Name, Mailing Address and ZIP Code</b> Ralph Monti 145 Allentown Road, Wolcott, CT 06716  Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	<b>Name of Employer</b> Monti Associates  <b>Occupation</b> Developer <b>Aggregate Year-to-Date</b> > \$ 1000.00	<b>Date (month, day, year)</b> 8/31/00	<b>Amount of Each Receipt This Period</b> \$1000.00
<b>E. Full Name, Mailing Address and ZIP Code</b> Sovereign Bank New England  Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	<b>Name of Employer</b> N/A  <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 1000.00	<b>Date (month, day, year)</b> 8/24/00	<b>Amount of Each Receipt This Period</b> \$1000.00
<b>F. Full Name, Mailing Address and ZIP Code</b> Vincent & Candice Graziano 63 Fairfield Avenue Waterbury, CT 06708  Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	<b>Name of Employer</b> N.S.I. Inc.  <b>Occupation</b> Sales <b>Aggregate Year-to-Date</b> > \$ 300.00	<b>Date (month, day, year)</b> 9/15/00	<b>Amount of Each Receipt This Period</b> \$50.00
<b>G. Full Name, Mailing Address and ZIP Code</b> Theresa Caldarone 37 Montoe Road Waterbury, CT 06704  Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	<b>Name of Employer</b> City of Waterbury  <b>Occupation</b> Attorney <b>Aggregate Year-to-Date</b> > \$ 50.00	<b>Date (month, day, year)</b> 9/18/00	<b>Amount of Each Receipt This Period</b> \$50.00

Attachment 17 Page 6

## ULE A ITEMIZED RECEIPTS

Use separate schedule if  
this receipt is for a  
different category of the  
Summary PagePAGE 64 OF 65  
FOR LINE NUMBER

Information covered from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial use, either than using the name and address of any political committee to solicit contributions from such committee

## NAME OF COMMITTEE (in Full)

Giordano for U.S. Senate

A. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Vanguard Coverage Operations 522 Broadway Massapequa, NY 11758 Receipt For: <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	Vanguard Coverage Occupation: Investors Aggregate Year-to-Date: \$ 1,000.00	9/12/00	1,000.00
B. Full Name, Mailing Address and ZIP Code Elizabeth Allocco 208 Emerson Pl Valley Stream, NY 11580 Receipt For: <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	Name of Employer Occupation Aggregate Year-to-Date: \$ 1,000.00	9/15/00	1,000.00
C. Full Name, Mailing Address and ZIP Code Isaac Zehnwrith Ruth Zehnwrith 714 Tanwood Dr; West Hempstead, NY 11552 Receipt For: <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	Name of Employer Occupation Aggregate Year-to-Date: \$ 500.00	9/18/00	500.00
D. Full Name, Mailing Address and ZIP Code Karen J. Staruch-Galletti 120 Munsey Place Manhasset, NY 11030 Receipt For: <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	Name of Employer Occupation Aggregate Year-to-Date: \$ 1,000.00	9/15/00	1,000.00
E. Full Name, Mailing Address and ZIP Code Michael Allocco Elizabeth Allocco 208 Emerson Pl Valley Stream, NY 11580 Receipt For: <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	Name of Employer Occupation Aggregate Year-to-Date: \$ 2,000.00	9/15/00	2,000.00
F. Full Name, Mailing Address and ZIP Code Fred J. Anthony Paula M. Anthony 181 Meadow St Shelton, CT 06484 Receipt For: <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	Name of Employer City of Waterbury Occupation: Attorney Aggregate Year-to-Date: \$ 250.00	9/20/00	250.00
G. Full Name, Mailing Address and ZIP Code Jeffrey Coulson 47 Country Ridge Dr Huntington, CT 06484 Receipt For: <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	Name of Employer Northeast Financial Services Occupation: Owner Aggregate Year-to-Date: \$ 1,000.00	9/20/00	1,000.00
SUBTOTAL of Receipts This Page (optional)			6,750.00

# ULE A ITEMIZED RECEIPTS

Use separate sheet for each category of the Detailed Summary Page

37 65  
FOR LINE NUMBER

Attachment 17 Page 7

2020342335

Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

IE OF COMMITTEE (in Full)

Girodano for U.S. Senate

<b>A. Full Name, Mailing Address and ZIP Code</b> Carl D. Simoni 2 University Plaza Suite 411 Hunkensack, N.J. 07601		<b>Name of Employer</b>  Occupation	<b>Date (month, day, year)</b> 8/3/00	<b>Amount of Each Receipt This Period</b> 150.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):		Aggregate Year-to-Date > \$ 150.00		
<b>B. Full Name, Mailing Address and ZIP Code</b> Marjorie Miltealy 10 Carlen Dr. Northford, Ct. 06472		<b>Name of Employer</b> N/A Occupation	<b>Date (month, day, year)</b> 8/12/00	<b>Amount of Each Receipt This Period</b> 50.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):		Aggregate Year-to-Date > \$ 50.00		
<b>C. Full Name, Mailing Address and ZIP Code</b> Kent E. Lagasse P.O. Box 320902 Fairfield, Ct 06432		<b>Name of Employer</b>  Occupation	<b>Date (month, day, year)</b> 8/10/00	<b>Amount of Each Receipt This Period</b> 1000.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):		Aggregate Year-to-Date > \$ 1000		
<b>D. Full Name, Mailing Address and ZIP Code</b> Russell Buer 58 Main St. Edison, N.J.		<b>Name of Employer</b> N/A Occupation	<b>Date (month, day, year)</b> 8/10/00	<b>Amount of Each Receipt This Period</b> 100.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):		Aggregate Year-to-Date > \$ 100.00		
<b>E. Full Name, Mailing Address and ZIP Code</b> Louis M. Sachs 25 Florence Rd. Unit 41 Branford, Ct 06405		<b>Name of Employer</b>  Occupation	<b>Date (month, day, year)</b> 8/14/00	<b>Amount of Each Receipt This Period</b> 1000.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):		Aggregate Year-to-Date > \$ 1000.00		
<b>F. Full Name, Mailing Address and ZIP Code</b> V.A. Morano		<b>Name of Employer</b> N/A Occupation	<b>Date (month, day, year)</b> 8/8/00	<b>Amount of Each Receipt This Period</b> 100.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):		Aggregate Year-to-Date > \$ 100.00		
<b>G. Full Name, Mailing Address and ZIP Code</b> [Faint Name] [Faint Address]		<b>Name of Employer</b>  Occupation	<b>Date (month, day, year)</b> [Faint Date]	<b>Amount of Each Receipt This Period</b> [Faint Amount]
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):		Aggregate Year-to-Date > \$		

SUBTOTAL of Receipts This Page (optional) .....

2,400.00

EDULE A

EMIZED RECEIPTS

200203142358

 No separate schedules  
 for each category of the  
 Detailed Summary Page

PAGE 58 OF 6

FCR LINE NUMBER

Information copied to such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee

## NAME OF COMMITTEE (In Full)

Giordano for U.S. Senate

<b>A. Full Name, Mailing Address and ZIP Code</b> <b>Frank Panico</b>  <b>Receipt For:</b> <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b>  <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 1,000.00	<b>Date (month, day, year)</b> 9/11/00	<b>Amount of Each Receipt This Period</b> \$1,000.00
<b>B. Full Name, Mailing Address and ZIP Code</b> <b>Charles S. Lanza</b> 371 Bunker Hill Avenue Waterbury, CT 06708  <b>Receipt For:</b> <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b> City of Waterbury  <b>Occupation</b> Manager  <b>Aggregate Year-to-Date</b> > \$ 650.00	<b>Date (month, day, year)</b> 9/13/00	<b>Amount of Each Receipt This Period</b> \$100.00
<b>C. Full Name, Mailing Address and ZIP Code</b> <b>Louis M. Sachs</b> 25 Florence Road, Unit 41 Branford, CT 06405  <b>Receipt For:</b> <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b> Cherry Hill Construction  <b>Occupation</b> Construction Worker  <b>Aggregate Year-to-Date</b> > \$ 1,000.00	<b>Date (month, day, year)</b> 9/12/00	<b>Amount of Each Receipt This Period</b> \$1,000.00
<b>D. Full Name, Mailing Address and ZIP Code</b> <b>John M. Wabiszczewicz</b> 150 Prospect Street Waterbury, CT 06710  <b>Receipt For:</b> <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b> Self-employed  <b>Occupation</b> Attorney  <b>Aggregate Year-to-Date</b> > \$ 100.00	<b>Date (month, day, year)</b> 9/14/00	<b>Amount of Each Receipt This Period</b> \$100.00
<b>E. Full Name, Mailing Address and ZIP Code</b> <b>Yilidi Zyko</b>  <b>Receipt For:</b> <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b>  <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 25.00	<b>Date (month, day, year)</b> 9/13/00	<b>Amount of Each Receipt This Period</b> \$25.00
<b>F. Full Name, Mailing Address and ZIP Code</b> <b>Avon Republican Town Committee</b>  <b>Receipt For:</b> <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b>  <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 400.00	<b>Date (month, day, year)</b> 9/12/00	<b>Amount of Each Receipt This Period</b> \$400.00
<b>G. Full Name, Mailing Address and ZIP Code</b> <b>Joseph A. Antonios</b> 358 Valley View Road Thomaston, CT 06787  <b>Receipt For:</b> <input type="checkbox"/> Other (specify): <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b>  <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 100.00	<b>Date (month, day, year)</b> 9/14/00	<b>Amount of Each Receipt This Period</b> \$100.00

SUBTOTAL of Receipts This Page (optional)

\$2,725.00



FEDERAL ELECTION COMMISSION  
WASHINGTON, D C 20463

RQ-3

July 26, 2001

Thomas M. Ariola, Jr., Treasurer  
Giordano for United States Senate  
P.O. Box 2360  
Waterbury, CT 06724

Identification Number: C00353862

Reference: October Quarterly Report (7/1/00-9/30/00)

Dear Mr. Ariola:

On July 3, 2001 you were notified that a review of the above-referenced report(s) raised questions as to specific contributions and/or expenditures, and the reporting of certain information required by the Federal Election Campaign Act.

The Commission is in receipt of your letter dated July 18, 2001. An adequate response must be received at the Commission by August 15, 2001. Adequate responses received on or before this date will be taken into consideration in determining whether audit action will be initiated. **Requests for extensions for time in which to respond will not be considered.** Failure to provide an adequate response by this date may result in an audit of the committee. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action.

If you should have any questions related to this matter, please contact Matthew Kern on our toll-free number (800) 424-9530 (a the prompt press 1, then press 2 to reach the Reports Analysis Division) or our local number (202) 694-1130.

Sincerely,

A handwritten signature in dark ink, appearing to read "John D. Gibson".

John D. Gibson  
Assistant Staff Director  
Reports Analysis Division

26044130753



FEDERAL ELECTION COMMISSION  
WASHINGTON, D C 20463

RQ-2

Thomas M. Ariola Jr., Treasurer  
Giordano for United States Senate  
P.O. Box 2360  
Waterbury, CT 06724

JUL 17 2001

Identification Number: C00353862

Reference: 12 Day Pre-General Report (10/1/00-10/24/00)

Dear Mr. Ariola :

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Your report discloses contribution(s) which appears to be from a corporation (pertinent portion attached). A contribution from a corporation is prohibited by the Act, unless it is made from a separate segregated fund established by the corporation. (2 U.S.C. §441b(a) and 11 CFR §103.3(b))

If the contribution(s) in question was not completely or correctly reported, you should amend your original report with the corrected information. If the contribution is from a corporation, you should refund the full amount to the donor and notify the Commission of such action. The refund must be made within thirty days of the treasurer becoming aware of the impermissibility of the contribution. (11 CFR §103.3(b)(2)) Copies of refund checks for the contribution(s) in question may be used to respond to this letter. The refund should be reported on a Schedule B supporting Line 20(a) of the report covering the period in which the refund is made. (11 CFR §104.8(d)(4))

Although the Commission may take further legal action, prompt action by you to refund the prohibited amount will be considered.

-Please provide the omitted figure(s) for Column(s) A and B, Line(s)

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## GIORDANO FOR UNITED STATES SENATE

## PAGE 2

11(a)(ii) of the Detailed Summary Page.

-Commission Regulations require that a committee disclose the identification of all individuals who contribute in excess of \$200 in a calendar year. (11 CFR §104.3(a)(4)(i)) Identification for an individual is defined as the full name, mailing address, occupation and name of employer. (11 CFR §100.12) Your report discloses contributions from individuals for which the identification is not complete.

You must provide the missing information, or if you are unable to do so, you must demonstrate that "best efforts" have been used to obtain the information. To establish "best efforts," you must provide the Commission with a detailed description of your procedures for requesting the information. Establishing "best efforts" is a three-fold process.

First, your original solicitation must include a clear and conspicuous request for the contributor information and must inform the contributor of the requirements of federal law for the reporting of such information. (11 CFR §104.7(b)(1))

Second, if the information is not provided, you must make one follow-up, stand alone effort to obtain this information, regardless of whether the contribution(s) was solicited or not. This effort must occur no later than 30 days after receipt of the contribution and may be in the form of a written request or an oral request documented in writing. (11 CFR § 104.7(b)(2))

The request must:

- clearly ask for the missing information, without soliciting a contribution;
- inform the contributor of the requirements of federal law for the reporting of such information, and
- if the request is written, include a pre-addressed post card or return envelope.

Third, if you receive contributor information after the contribution(s) has been reported, you shall either a) file with your next regularly scheduled report, an amended memo Schedule A listing all the contributions for which additional information was received; or b) file on or before your next regularly scheduled reporting date, amendments to the report(s) originally disclosing the contribution(s). (11 CFR §104.7(b)(4))

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**GIORDANO FOR UNITED STATES SENATE  
PAGE 3**

Please provide the missing information or a detailed description of your procedures for requesting the information. For more information on demonstrating "best efforts," please refer to the Campaign Guide.

Your report discloses \$139,098.12 on Line 14, Column A, of the Detailed Summary Page in Offsets to Operating Expenditures. Any rebates, refunds or other offsets to operating expenditures made to your committee which, in the aggregate, are in excess of \$200 for the calendar year 2000 must be itemized on a Schedule A. If necessary, please provide a Schedule A. (11 CFR §104.3(a)(4)(v))

-Schedule D of this report duplicates activity which occurred in a previous reporting period. The columns "Amount Incurred This Period" and "Payments Made This Period" should include only activity that occurred during this reporting period. Please correct this discrepancy and file an amended Schedule D.

-For future reports, please be advised that contributions from individuals and political committees should be itemized on a separate Schedule A. Additionally, the total amount of these contributions should be reported on the appropriate line of the Detailed Summary Page (11(a), 11(b) and 11(c)).

-Contributions from individuals and persons other than political committees must be itemized if the aggregate total from the contributor exceeds \$200 in a calendar year. This means that the committee does not have a reporting requirement of a contribution until the aggregate total exceeds the \$200 threshold. (2 U.S.C. §434(b)(3)) Should a committee wish to disclose contributions that do not require itemization, it must do so on a separate Schedule A and report the total amount of unitemized contributions on Line 11(a)(ii) of the Detailed Summary Page. (11 CFR §104.3(a)(4)(i))

-Please provide a Schedule C to support the amount reported on Line 10 of the Summary Page.

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Secretary of the Senate, 232 Hart Senate Office Building, Washington, DC 20510 within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530.

26044130756

GIORDANO FOR UNITED STATES SENATE

PAGE 4

(at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694-1130.

Sincerely,



Matthew S. Kern  
Reports Analyst  
Reports Analysis Division

474

26044130757

SCHEDULE A

EMIZED RECEIPTS

20020384493  
This receipt schedule(s)  
category of the  
Detailed Summary PagePAGE 12 OF 13  
FOR LINE NUMBER

Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial uses, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Giordano for U.S. Senate

A. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Joseph M. Stellato		10/19/00	\$100.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > \$ 100.00		
B. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Timothy A. Lundegan 8 Thomas Waite Dr. Old Lyme, Ct 06371-1546		10/21/00	\$100.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > \$ 100.00		
C. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Richard C. Pilla 1051 Brook Rd. Milton MA 02186		10/19/00	\$100.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > \$ 500.00		
D. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Marc E. Ginsberg 108 Montauk Ave Stonington, Ct 06378			\$500.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation ATTORNEY		
	Aggregate Year-to-Date > \$ 500.00		
E. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Northeast Cosmetology, Inc. 1231 E. Main St Meriden, Ct 06450		10/1/00	\$500.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation		
	Aggregate Year-to-Date > \$ 500.00		
F. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Newman M. Marsilius 120 Norton Rd. Easton, Ct 06112		10/16/00	\$100.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation retired		
	Aggregate Year-to-Date > \$ 100.00		
G. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Stephen M. Rocketto 928 E. Colchester Rd. Easton, Ct 06370	Town of Plainville	10/13/00	\$25.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation Teacher		
	Aggregate Year-to-Date > \$ 25.00		

SUBTOTAL of Receipts This Page (optional)

\$1425.00

TOTAL This Period (last page this line number only)

Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Giordano for U.S Senate

A. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt this Period
Ellen M. Coker 88 Deer Hill Ave Danbury, Ct 06810		10/1/00	\$100.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation	Aggregate Year-to-Date > \$ 200.00	
B. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt this Period
Bacco Plumbing & Heating, Inc. 105 Cook Ave P.O. Box 4044 Middletown, Ct 06450		10/7/00	\$500.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation	Aggregate Year-to-Date > \$ 500.00	
C. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt this Period
Saloni Josef & Spa 451 W Main St Middletown, Ct 06451		10/12/00	\$50.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation	Aggregate Year-to-Date > \$ 50.00	
D. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt this Period
Patricia Hozban 251 Elmwood Dr. Middletown, Ct 06450		11/8/00	\$25.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation	Aggregate Year-to-Date > \$ 25.00	
E. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt this Period
Gudith N. Laubriel 22 Woodland Ridge, Box 29-3 Middletown, Ct 06450		9/30/00	\$25.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation	Aggregate Year-to-Date > \$ 25.00	
F. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt this Period
John E. Demayo 618 Main St. South Middletown, Ct 06450		10/2/00	\$25.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation	Aggregate Year-to-Date > \$ 25.00	
G. Full Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt this Period
Sal Dominello 162 Allen Ave Middletown, Ct 06451		10/8/00	\$100.00
Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Occupation	Aggregate Year-to-Date > \$ 100.00	

SUBTOTAL of Receipts This Page (optional)	\$825.00
TOTAL This Period (last page this line number only)	

any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Giordano for U.S. Senate

<b>A. Full Name, Mailing Address and ZIP Code</b> Joseph P. ... 17100 E. 14th Street Hayward, CA 94541 Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify): <b>B. Full Name, Mailing Address and ZIP Code</b> Michael Capodiano 305 Upper Whitmore Rd. Middlebury, Ct. 06762 Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify): <b>C. Full Name, Mailing Address and ZIP Code</b> Daniel L. Quarella 81 Sage Ave Bridgeport, Ct 06610 Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify): <b>D. Full Name, Mailing Address and ZIP Code</b> Ellen M. ... 82 ... Danbury, Ct 06810 Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify): <b>E. Full Name, Mailing Address and ZIP Code</b> Al Panico 90 St. John St. North Haven, Ct 06473 Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify): <b>F. Full Name, Mailing Address and ZIP Code</b> Raffaele ... 226 Thayer Pond Rd. Wilton, Ct 06897 Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify): <b>G. Full Name, Mailing Address and ZIP Code</b> The Red Lion, Inc. 614 Danbury Rd. Bridgeport, Ct 06877 Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation  Aggregate Year-to-Date > \$ 40.00  Name of Employer  Occupation  Aggregate Year-to-Date > \$ 100.00  Name of Employer  Occupation  Aggregate Year-to-Date > \$ 100.00  Name of Employer  Occupation  Aggregate Year-to-Date > \$ 100.00  Name of Employer  Occupation  Aggregate Year-to-Date > \$ 100.00  Name of Employer  Occupation  Aggregate Year-to-Date > \$ 500.00  Name of Employer  Occupation  Aggregate Year-to-Date > \$ 250.00	Date (month, day, year) 9/30/00  10/3/00  9/30/00  10/1/00  10/3/00  10/3/00  10/4/00	Amount of Each Receipt this Period \$40.00  \$100.00  \$100.00  \$100.00  \$100.00  \$500.00  \$250.00
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SUBTOTAL of Receipts this Page (optional)

\$1190.00

TOTAL this Period (last page this line number only)

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## FEDERAL ELECTION COMMISSION

WASHINGTON, D C 20463

RQ-3

August 9, 2001

Thomas M. Ariola Jr., Treasurer  
Giordano for United States Senate  
P.O. Box 2360  
Waterbury, CT 06724

Identification Number: C00353862

Reference: 12 Lay Pre-General (10/1/00-10/24/00) and 30 Day Post-General  
(10/25/00-11/27/00) Reports

Dear Mr. Ariola:

This letter is to inform you that as of August 8, 2001, the Commission has not received your response to our requests for additional information dated July 17, 2001. These notices request information essential to full public disclosure of your federal election campaign finances. To ensure compliance with the provisions of the Federal Election Campaign Act (the Act), please respond to these requests (copies enclosed).

An adequate response must be received at the Commission by August 29, 2001. Adequate responses received on or before this date will be taken into consideration in determining whether audit action will be initiated. **Requests for extensions of time in which to respond will not be considered.** Failure to provide an adequate response by this date may result in an audit of the committee. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action.

If you should have any questions regarding this matter, please contact Michael Young on our toll-free number (800) 424-9530 (at the prompt press 1, then press 2 to reach the Reports Analysis Division) or our local number (202) 694-1130.

Sincerely,

John D. Gibson  
Assistant Staff Director  
Reports Analysis Division

Enclosures

26044130761



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

RQ-2

Thomas M. Ariola, Jr., Treasurer  
Giordano for United States Senate  
P.O. Box 2360  
Waterbury, CT 06724

JUL 17 2001

Identification Number: C00353862

Reference: 30 Day Post-General Report (10/25/00-11/27/00)

Dear Mr. Ariola:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Your report discloses contribution(s) which appears to be from a corporation (pertinent portion attached). A contribution from a corporation is prohibited by the Act, unless it is made from a separate segregated fund established by the corporation. (2 U.S.C. §441b(a) and 11 CFR §103.3(b))

If the contribution(s) in question was not completely or correctly reported, you should amend your original report with the corrected information. If the contribution is from a corporation, you should refund the full amount to the donor and notify the Commission of such action. The refund must be made within thirty days of the treasurer becoming aware of the impermissibility of the contribution. (11 CFR §103.3(b)(2)) Copies of refund checks for the contribution(s) in question may be used to respond to this letter. The refund should be reported on a Schedule B supporting Line 20(a) of the report covering the period in which the refund is made. (11 CFR §104.8(d)(4))

Although the Commission may take further legal action, prompt action by you to refund the prohibited amount will be considered.

-Schedule A of your report discloses a contribution(s) which appears to

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**GIORDANO FOR UNITED STATES SENATE**  
**PAGE 2**

exceed the limits set forth in the Act (copies attached). You should examine all of your contributions to check for additional excessives. The Committee's procedures for processing contributions should also be reviewed.

An individual or a political committee other than a qualified multicandidate committee may not make a contribution to a candidate for federal office in excess of \$1,000 per election. A qualified multicandidate committee and all affiliated committees may not make a contribution(s) to a candidate for federal office in excess of \$5,000 per election. The term "contribution" includes any gift, subscription, loan, advance, or deposit of money or anything of value made by any person for the purpose of influencing any election for federal office. (2 U.S.C. §441a(a) and (f); 11 CFR §110.1(b), (e) and (k))

If the contribution(s) in question was not completely or correctly reported, you should amend your original report using the new or corrected information. If the contribution(s) exceeds the limits, you should either refund to the donor the amount in excess of \$1,000 or request a written redesignation and/or reattribution of the contribution(s) from the donor. All refunds, redesignations, and reattributions must be made within sixty days of receipt of the contribution. Copies of refund checks and copies of letters reattributing or redesignating the contributions in question may be used to respond to this letter. Refunds are reported on Line 20 of the Detailed Summary Page and on a supporting Schedule B of the report covering the period in which they are made. Redesignations and reattributions are reported as memo entries on Schedule A of the report covering the period in which the authorization for the redesignation and/or reattribution is received. (11 CFR §104.8(d)(2), (3) and (4))

The acceptance of excessive contributions is a serious problem. Again, the committee's procedures for processing contributions should be examined and corrected in order to avoid this problem. Although the Commission may take further legal action, prompt action by you to refund or seek redesignation and/or reattribution of the excessive amount will be considered.

Schedule A of this report discloses activity outside the coverage dates. The report should include only activity that occurred from 10/25/00 to 11/27/00. Please amend this report and any previous reports so that all

26044130763

**GIORDANO FOR UNITED STATES SENATE**  
**PAGE 3**

activity is disclosed in the report covering the period in which the activity occurred.

-Please provide the omitted figure(s) for Line(s) 25 of the Detailed Summary Page.

-Please provide the omitted figure(s) for Column(s) A and B, Line(s) 11(a)(iii) of the Detailed Summary Page.

-You should provide a total on Line 10 of the Summary Page that discloses all outstanding debts and obligations owed by your committee.

-Line 11(a)(i), Column A, of the Detailed Summary Page, discloses \$107,506.74 in receipts. Schedule A supporting Line 11(a)(i) discloses \$111,227.00 in receipts. These figures should be the same. Please correct this discrepancy and file an amendment to your report. (11 CFR §104.3)(a))

-Your calculations for loans on Schedule C are incorrect (Original Amount of Loan - Cumulative Payment To Date = Balance Outstanding at Close of This Period). Please amend your report to correct the discrepancies for the following loans:

<u>Source</u>	<u>Original Amount of Loan</u>	<u>Date Incurred</u>
Patriot National Bank	\$300,000.00	7/14/00

-Commission Regulations require the continuous reporting of all outstanding debts. This report indicates an omission of debts itemized on your previous report(s). (11 CFR §§104.3(d) and 104.11) Please file an amendment to your report to disclose the current status of these omitted debts.

Williamson Auto Inc. \$1632.18

-Schedule A of your report indicates that your committee may have failed to file one or more of the required 48 hour notices regarding "last minute" contributions received by your committee after the close of books for the 12 Day Pre-General report. A principal campaign committee must notify the Commission in writing, within 48 hours of any contribution of \$1,000 or more received between two and twenty days before an election. These

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## GIORDANO FOR UNITED STATES SENATE

PAGE 4

contributions are then reported on the next report required to be filed by the committee. To ensure that the Commission is notified of last minute contributions of \$1,000 or more to your campaign, it is recommended that you review your procedures for checking contributions received during the aforementioned time period. Although the Commission may take legal action, any response you wish to provide concerning this matter will be considered. (11 CFR §104.5(f))

-On Schedule A of this report, you have not itemized all of the necessary contributor information. You must provide the date, aggregate year-to-date total, election designation, amount of contribution, and partnership attribution (if necessary) for each itemized receipt. (11 CFR §104.3(a)(4)(i)) Please amend your report to include the aggregate year-to-date totals.

Commission Regulations require that a committee disclose the identification of all individuals who contribute in excess of \$200 in a calendar year. (11 CFR §104.3(a)(4)(i)) Identification for an individual is defined as the full name, mailing address, occupation and name of employer. (11 CFR §100.12) Your report discloses contributions from individuals for which the identification is not complete.

You must provide the missing information, or if you are unable to do so, you must demonstrate that "best efforts" have been used to obtain the information. To establish "best efforts," you must provide the Commission with a detailed description of your procedures for requesting the information. Establishing "best efforts" is a three-fold process.

First, your original solicitation must include a clear and conspicuous request for the contributor information and must inform the contributor of the requirements of federal law for the reporting of such information. (11 CFR §104.7(b)(1))

Second, if the information is not provided, you must make one follow-up, stand alone effort to obtain this information, regardless of whether the contribution(s) was solicited or not. This effort must occur no later than 30 days after receipt of the contribution and may be in the form of a written request or an oral request documented in writing. (11 CFR § 104.7(b)(2))

The request must:

26044130765

**GIORDANO FOR UNITED STATES SENATE  
PAGE 5**

- clearly ask for the missing information, without soliciting a contribution;
- inform the contributor of the requirements of federal law for the reporting of such information, and
- if the request is written, include a pre-addressed post card or return envelope.

Third, if you receive contributor information after the contribution(s) has been reported, you shall either a) file with your next regularly scheduled report, an amended memo Schedule A listing all the contributions for which additional information was received; or b) file on or before your next regularly scheduled reporting date, amendments to the report(s) originally disclosing the contribution(s). (11 CFR §104.7(b)(4))

Please provide the missing information or a detailed description of your procedures for requesting the information. For more information on demonstrating "best efforts," please refer to the Campaign Guide.

-Your report indicates loan(s) of \$300,000.00 owed to Patriot National Bank which were previously reported in the October Quarterly Report for the 2000 Election Cycle. In your prior report, all required information regarding the loan(s) was provided. However, your current report fails to provide this information. With every report submitted, you must provide the date incurred, the original source and amount of the loan, the due date, the interest rate, the cumulative payment, and the outstanding balance. In addition, if there are any endorsers or guarantors, their mailing address along with the name of their employer and occupation must be disclosed. Please amend your report to include the date incurred, due date and interest rate. (11 CFR §100.7(a)(1) and 104.3(d))

Your report was not signed. Please amend this report to include the original signature of the treasurer or the designated assistant treasurer. (2 U.S.C. §434(a))

-Contributions from individuals and persons other than political committees must be itemized if the aggregate total from the contributor exceeds \$200 in a calendar year. This means that the committee does not have a reporting requirement of a contribution until the aggregate total exceeds the \$200 threshold. (2 U.S.C. §434(b)(3)) Should a committee wish to disclose contributions that do not require itemization, it must do so on a separate

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**GIORDANO FOR UNITED STATES SENATE  
PAGE 5**

See Schedule A and report the total amount of unitemized contributions on Line 11(a)(ii) of the Detailed Summary Page. (11 CFR §104.3(a)(4)(i))

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Secretary of the Senate, 232 Hart Senate Office Building, Washington, DC 20510 within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530. (at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694-1130.

Sincerely,



Matthew S. Kern  
Reports Analyst  
Reports Analysis Division

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26044130767

## ITEMIZED RECEIPTS

2 0200 30788  
 This schedule(s) is/are a category of the  
 Detailed Summary Page  
 PAGE 11 OF  
 FOR LINE NUMBER

Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for communication that using the name and address of any political committee to solicit contributions from such committee.

## F COMMITTEE (In Full)

Giordano for U.S. Senate

Full Name, Mailing Address and ZIP Code R.F.L. Special Account 38-60 43rd St. Corona, Island City, Primary 1101 General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/10/00	Amount of Receipt this \$ 1,000.00
Full Name, Mailing Address and ZIP Code Anatoly Waksler 197 Pines Ln East Brunswick, NJ 08816 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/14/00	Amount of Receipt this \$ 100.00
Full Name, Mailing Address and ZIP Code Angelo DeCaro 24 Plum Beach Point Rd Sands Point, NY 11050 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/3/00	Amount of Receipt this \$ 2,000
Full Name, Mailing Address and ZIP Code En-Tech Corp 75 Oak Street Norwood, NJ 07648 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/14/00	Amount of Receipt this \$ 2,500
Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Receipt this
Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Receipt this
Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Receipt this

SUBTOTAL (Receipts This Page (optional))

LE A

## ITEMIZED RECEIPTS

Non-reportable schedule(s)  
 21020050798  
 Category of the  
 Detailed Summary Page  
 PAGE 21 OF  
 FOR LINE NUMBER

Information copied from Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, the name and address of any political committee to solicit contributions from such committee.

OF COMMITTEE (in Full)

Giordano for U.S. Senate

A. Full Name, Mailing Address and ZIP Code Timothy Longino n/a Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/30/00	Amount of Each Receipt this Period 1,900
B. Full Name, Mailing Address and ZIP Code Timothy Longino n/a Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/30/00	Amount of Each Receipt this Period 22,200
C. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period
D. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period
E. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period
F. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period
G. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)

MEMORIZED RECEIPTS

21080050330  
Schedule(s)  
of the  
Detailed Summary Page

PAGE 19 OF  
FOR LINE NUMB

Non-copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commencing or using the name and address of any political committee to solicit contributions from such committee.

COMMITTEE (In Full)

Giordano for U.S. Senate

Full Name, Mailing Address and ZIP Code Dalles Bros., Inc. II c/o Assad, Y. Diabes & Sons 1000 Portside Dr. Edgewater, NJ 07020 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > 5	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00 MK
Full Name, Mailing Address and ZIP Code Russell River Associates 1000 Portside Drive Edgewater, NJ 07020 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > 5	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00
Full Name, Mailing Address and ZIP Code John M. Horvath, Jr. 835 Mix Ave Apt 411 New Haven, CT 06514-2113 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > 5	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00
Full Name, Mailing Address and ZIP Code Connecticut Republicans-Federal- 97 E Main St Hartford, CT 06106-1664 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > 5	Date (month, day, year) 10/27/00	Amount of Receipt this P 5,000.00
Full Name, Mailing Address and ZIP Code Dalles Bros., Inc. Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > 5	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00 MK
Full Name, Mailing Address and ZIP Code Rudy Pizzoferrato 81 Chevas Rd Avon, CT 06001 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > 5	Date (month, day, year) 10/ / 00	Amount of Receipt this P 1,000.00
Full Name, Mailing Address and ZIP Code John Hardy 111 Main Court Weyington, CT 06111 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > 5	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00



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**MINUTE (in Full)**

**Giordano for U.S. Senate**

Name, Mailing Address and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt This Period
Barbara Rev Richard P. Rev 23 Ancaster Rd Watson, CT 06897 Primary <input type="checkbox"/> General <input type="checkbox"/> <input checked="" type="checkbox"/> Other (specify):	n/a Occupation Aggregate Year-to-Date > 5	10/25/00	50
Joann C. Ppelletti 8 Ravenwood Dr Middlebury, CT 06762 Primary <input type="checkbox"/> General <input type="checkbox"/> <input checked="" type="checkbox"/> Other (specify):	n/a Occupation Aggregate Year-to-Date > 5	10/18/00	250 MCC
Patricia A. Carey 612A Cherokee Lane Oronoque Village Stratford, CT 06614 Primary <input type="checkbox"/> General <input type="checkbox"/> <input checked="" type="checkbox"/> Other (specify):	n/a Occupation Aggregate Year-to-Date > 5	10/18/00	250
Michael T. Gennetty James J. Gennetty 147 W. 21st Rd Unit 1A Molokai, CT 06716 Primary <input type="checkbox"/> General <input type="checkbox"/> <input checked="" type="checkbox"/> Other (specify):	n/a Occupation Aggregate Year-to-Date > 5	10/19/00	125
Full Name, Mailing Address and ZIP Code	Name of Employer Occupation Aggregate Year-to-Date > 5	Date (month, day, year)	Amount of Receipt This Period
Full Name, Mailing Address and ZIP Code	Name of Employer Occupation Aggregate Year-to-Date > 5	Date (month, day, year)	Amount of Receipt This Period
Full Name, Mailing Address and ZIP Code	Name of Employer Occupation Aggregate Year-to-Date > 5	Date (month, day, year)	Amount of Receipt This Period
Full Name, Mailing Address and ZIP Code	Name of Employer Occupation Aggregate Year-to-Date > 5	Date (month, day, year)	Amount of Receipt This Period

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or other than using the name and address of any political committee to solicit contributions from such committee

NAME OF COMMITTEE (In Full)

Giordano Congressional Explanatory Comm.

A. Full Name, Mailing Address and ZIP Code

Darren S. Lehrman  
43 River Dr.  
Morrisboro, N.J. 07746

Name of Employer

Jeffrey Matthews  
Financial Group

Date (month, day, year)

6/26/00

Am Rec.

2

Receipt For

☐ Other (specify)

☐ Primary

☒ General

Occupation

F.N. Manager

Aggregate Year-to-Date > \$

250.00

B. Full Name, Mailing Address and ZIP Code

Edward Bushka  
461 Oronoke Rd.  
Wtby. CT 06708

Name of Employer

Self/Bushka  
Lumber

Date (month, day, year)

6/26/00

Am Rec.

50.

Receipt For

☐ Other (specify)

☐ Primary

☐ General

Occupation

Owner

Aggregate Year-to-Date > \$

500.00

C. Full Name, Mailing Address and ZIP Code

Michael Pielke Jr.  
44 Arnold St.  
Wtby. CT 06708

Name of Employer

City of Wtby

Date (month, day, year)

6/29/00

Am Rec.

10.

Receipt For

☐ Other (specify)

☐ Primary

☒ General

Occupation

Aide

Aggregate Year-to-Date > \$

1000.00

D. Full Name, Mailing Address and ZIP Code

Dorothy Cappelletti  
8 Ravenwood Dr.  
Middletown, CT 06762

Name of Employer

House wife

Date (month, day, year)

6/28/00

Am Rec.

10.

Receipt For

☐ Other (specify)

☐ Primary

☒ General

Occupation

Aggregate Year-to-Date > \$

E. Full Name, Mailing Address and ZIP Code

Patrick Ariola  
111 New Haven Ave  
Wtby CT 06708

Name of Employer

Date (month, day, year)

6/29/00

Am Rec.

25

Receipt For

☐ Other (specify)

☐ Primary

☒ General

Occupation

Aggregate Year-to-Date > \$

250.00

F. Full Name, Mailing Address and ZIP Code

Joseph Spadaro  
100 Bradley Rd.  
Woodbridge, CT 06525

Name of Employer

Date (month, day, year)

6/28/00

Am Rec.

1.00

Receipt For

☐ Other (specify)

☐ Primary

☒ General

Occupation

Aggregate Year-to-Date > \$

1,000.00

G. Full Name, Mailing Address and ZIP Code

James Paulino  
245 Anna Ave  
Wtby. CT 06708

Name of Employer

St. of CT

Date (month, day, year)

6/28/00

Am Rec.

1.00

Receipt For

☐ Other (specify)

☐ Primary

☒ General

Occupation

Leg. Aide

Aggregate Year-to-Date > \$

SUBTOTAL of Receipts This Page (optional)

6.00

TOTAL This Period (Last page this line number only)



FEDERAL ELECTION COMMISSION  
WASHINGTON, D C 20463

RQ-2

Thomas M. Ariola, Jr., Treasurer  
Giordano for United States Senate  
P.O. Box 2360  
Waterbury, CT 06724

JUL 17 2001

Identification Number: C00353862

Reference: 30 Day Post-General Report (10/25/00-11/27/00)

Dear Mr. Ariola:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Your report discloses contribution(s) which appears to be from a corporation (pertinent portion attached). A contribution from a corporation is prohibited by the Act, unless it is made from a separate segregated fund established by the corporation. (2 U.S.C. §441b(a) and 11 CFR §103.3(b))

If the contribution(s) in question was not completely or correctly reported, you should amend your original report with the corrected information. If the contribution is from a corporation, you should refund the full amount to the donor and notify the Commission of such action. The refund must be made within thirty days of the treasurer becoming aware of the impermissibility of the contribution. (11 CFR §103.3(b)(2)) Copies of refund checks for the contribution(s) in question may be used to respond to this letter. The refund should be reported on a Schedule B supporting Line 20(a) of the report covering the period in which the refund is made. (11 CFR §104.8(d)(4))

Although the Commission may take further legal action, prompt action by you to refund the prohibited amount will be considered.

-Schedule A of your report discloses a contribution(s) which appears to

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## GIORDANO FOR UNITED STATES SENATE

## PAGE 2

exceed the limits set forth in the Act (copies attached). You should examine all of your contributions to check for additional excessives. The Committee's procedures for processing contributions should also be reviewed.

An individual or a political committee other than a qualified multicandidate committee may not make a contribution to a candidate for federal office in excess of \$1,000 per election. A qualified multicandidate committee and all affiliated committees may not make a contribution(s) to a candidate for federal office in excess of \$5,000 per election. The term "contribution" includes any gift, subscription, loan, advance, or deposit of money or anything of value made by any person for the purpose of influencing any election for federal office. (2 U.S.C. §441a(a) and (f); 11 CFR §110.1(b), (e) and (k))

If the contribution(s) in question was not completely or correctly reported, you should amend your original report using the new or corrected information. If the contribution(s) exceeds the limits, you should either refund to the donor the amount in excess of \$1,000 or request a written redesignation and/or reattribution of the contribution(s) from the donor. All refunds, redesignations, and reattributions must be made within sixty days of receipt of the contribution. Copies of refund checks and copies of letters reattributing or redesignating the contributions in question may be used to respond to this letter. Refunds are reported on Line 20 of the Detailed Summary Page and on a supporting Schedule B of the report covering the period in which they are made. Redesignations and reattributions are reported as memo entries on Schedule A of the report covering the period in which the authorization for the redesignation and/or reattribution is received. (11 CFR §104.8(d)(2), (3) and (4))

The acceptance of excessive contributions is a serious problem. Again, the committee's procedures for processing contributions should be examined and corrected in order to avoid this problem. Although the Commission may take further legal action, prompt action by you to refund or seek redesignation and/or reattribution of the excessive amount will be considered.

-Schedule A of this report discloses activity outside the coverage dates. This report should include only activity that occurred from 10/25/00 to 11/27/00. Please amend this report and any previous reports so that all

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## GIORDANO FOR UNITED STATES SENATE

PAGE 3

activity is disclosed in the report covering the period in which the activity occurred.

-Please provide the omitted figure(s) for Line(s) 25 of the Detailed Summary Page.

-Please provide the omitted figure(s) for Column(s) A and B, Line(s) 11(a)(iii) of the Detailed Summary Page.

-You should provide a total on Line 10 of the Summary Page that discloses all outstanding debts and obligations owed by your committee.

-Line 11(a)(i), Column A, of the Detailed Summary Page, discloses \$107,506.74 in receipts. Schedule A supporting Line 11(a)(i) discloses \$111,227.00 in receipts. These figures should be the same. Please correct this discrepancy and file an amendment to your report. (11 CFR §104.3)(a))

-Your calculations for loans on Schedule C are incorrect (Original Amount of Loan - Cumulative Payment To Date = Balance Outstanding at Close of This Period). Please amend your report to correct the discrepancies for the following loans:

<u>Source</u>	<u>Original Amount of Loan</u>	<u>Date Incurred</u>
Patriot National Bank	\$300,000.00	7/14/00

-Commission Regulations require the continuous reporting of all outstanding debts. This report indicates an omission of debts itemized on your previous report(s). (11 CFR §§104.3(d) and 104.11) Please file an amendment to your report to disclose the current status of these omitted debts:

Williamson Auto Inc. \$1632.18

-Schedule A of your report indicates that your committee may have failed to file one or more of the required 48 hour notices regarding "last minute" contributions received by your committee after the close of books for the 12 Day Pre-General report. A principal campaign committee must notify the Commission, in writing, within 48 hours of any contribution of \$1,000 or more received between two and twenty days before an election. These

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## GIORDANO FOR UNITED STATES SENATE

PAGE 4

contributions are then reported on the next report required to be filed by the committee. To ensure that the Commission is notified of last minute contributions of \$1,000 or more to your campaign, it is recommended that you review your procedures for checking contributions received during the aforementioned time period. Although the Commission may take legal action, any response you wish to provide concerning this matter will be considered. (11 CFR §104.5(f))

-On Schedule A of this report, you have not itemized all of the necessary contributor information. You must provide the date, aggregate year-to-date total, election designation, amount of contribution, and partnership attribution (if necessary) for each itemized receipt. (11 CFR §104.3(a)(4)(i)) Please amend your report to include the aggregate year-to-date totals.

-Commission Regulations require that a committee disclose the identification of all individuals who contribute in excess of \$200 in a calendar year. (11 CFR §104.3(a)(4)(i)) Identification for an individual is defined as the full name, mailing address, occupation and name of employer. (11 CFR §100.12) Your report discloses contributions from individuals for which the identification is not complete.

You must provide the missing information, or if you are unable to do so, you must demonstrate that "best efforts" have been used to obtain the information. To establish "best efforts," you must provide the Commission with a detailed description of your procedures for requesting the information. Establishing "best efforts" is a three-fold process.

First, your original solicitation must include a clear and conspicuous request for the contributor information and must inform the contributor of the requirements of federal law for the reporting of such information. (11 CFR §104.7(b)(1))

Second, if the information is not provided, you must make one follow-up, stand alone effort to obtain this information, regardless of whether the contribution(s) was solicited or not. This effort must occur no later than 30 days after receipt of the contribution and may be in the form of a written request or an oral request documented in writing. (11 CFR § 104.7(b)(2))

The request must:

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## GIORDANO FOR UNITED STATES SENATE

PAGE 5

- clearly ask for the missing information, without soliciting a contribution;
- inform the contributor of the requirements of federal law for the reporting of such information, and
- if the request is written, include a pre-addressed post card or return envelope.

Third, if you receive contributor information after the contribution(s) has been reported, you shall either a) file with your next regularly scheduled report, an amended memo Schedule A listing all the contributions for which additional information was received; or b) file on or before your next regularly scheduled reporting date, amendments to the report(s) originally disclosing the contribution(s). (11 CFR §104.7(b)(4))

Please provide the missing information or a detailed description of your procedures for requesting the information. For more information on demonstrating "best efforts," please refer to the Campaign Guide.

-Your report indicates loan(s) of \$300,000.00 owed to Patriot National Bank which were previously reported in the October Quarterly Report for the 2000 Election Cycle. In your prior report, all required information regarding the loan(s) was provided. However, your current report fails to provide this information. With every report submitted, you must provide the date incurred, the original source and amount of the loan, the due date, the interest rate, the cumulative payment, and the outstanding balance. In addition, if there are any endorsers or guarantors, their mailing address along with the name of their employer and occupation must be disclosed. Please amend your report to include the date incurred, due date and interest rate. (11 CFR §100.7(a)(1) and 104.3(d))

-Your report was not signed. Please amend this report to include the original signature of the treasurer or the designated assistant treasurer. (2 U.S.C. §434(a))

-Contributions from individuals and persons other than political committees must be itemized if the aggregate total from the contributor exceeds \$200 in a calendar year. This means that the committee does not have a reporting requirement or a contribution until the aggregate total exceeds the \$200 threshold. (2 U.S.C. §434(b)(3)) Should a committee wish to disclose contributions that do not require itemization, it must do so on a separate

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GIORDANO FOR UNITED STATES SENATE

PAGE 6

Schedule A and report the total amount of unitemized contributions on Line 11(a)(ii) of the Detailed Summary Page. (11 CFR §104.3(a)(4)(i))

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Secretary of the Senate, 232 Hart Senate Office Building, Washington, DC 20510 within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530. (at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694-1130.

Sincerely,



Matthew S. Kern  
Reports Analyst  
Reports Analysis Division

474

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EA

## ITEMIZED RECEIPTS

 2 0208 50788  
 Attachments schedule(s)  
 Category of the  
 Detailed Summary Page

 PAGE 11 OF  
 FOR LINE NUMBER

upon copied from such Forms and Statements may not be sold or used by any person for the purpose of soliciting contributions or for comm-  
 other than using the name and address of any political committee to solicit contributions from such committee.

## F COMMITTEE (In Full)

Giordano for U.S. Senate

Full Name, Mailing Address and ZIP Code R.P.L. Special Account 38-60 43rd St Flushing Meadows City, NY 11011 <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/10/00	Amount of Receipt this P \$ 1,000.00
Full Name, Mailing Address and ZIP Code Anatoly Veksler 197 Rues Ln East Brunswick, NJ 08816 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/14/00	Amount of Receipt this \$ 100.00
Full Name, Mailing Address and ZIP Code Angelo DeCaro 24 Plum Beach Point Rd Sands Point, NY 11050 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/3/00	Amount of Receipt this \$ 2,000
Full Name, Mailing Address and ZIP Code En-Tech Corp 75 Oak Street Norwood, NJ 07648 Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/14/00	Amount of Receipt this \$ 2,500
Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Receipt this
Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Receipt this
Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Receipt this
Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Receipt this

SUBTOTAL of Receipts This Page (optional)

LE A

## ITEMIZED RECEIPTS

This report is Schedule (A) of the category of the Official Summary Page	PAGE 21 OF FOR LINE NUMBER
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OF COMMITTEE (in Full)

Giordano for U.S. Senate

A. Full Name, Mailing Address and ZIP Code Timothy Longino n/a Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/30/00	Amount of Each Receipt this Period 1,800
B. Full Name, Mailing Address and ZIP Code Timothy Longino n/a Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify):	Name of Employer n/a Occupation Aggregate Year-to-Date > \$	Date (month, day, year) 10/30/00	Amount of Each Receipt this Period 22,200
C. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period
D. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period
E. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period
F. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period
G. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period
H. Full Name, Mailing Address and ZIP Code  Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):	Name of Employer  Occupation Aggregate Year-to-Date > \$	Date (month, day, year)	Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)

## EMIZED RECEIPTS

21020050130  
Schedule(s)  
of the  
Summary PagePAGE 19 OF  
FOR LINE NUMB

Not copied from such reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commencing or maintaining the name and address of any political committee to solicit contributions from such committee.

## COMMITTEE (in Full)

Giordano for U.S. Senate

Full Name, Mailing Address and ZIP Code Diabes Bros., Inc. II c/o A. Diabes Y. Diabes & Sons 1000 Portside Dr. Edgewater, NJ 07020	Name of Employer n/a	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00
Occupation	Aggregate Year-to-Date > \$		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
Full Name, Mailing Address and ZIP Code Russell River Associates 1000 Portside Drive Edgewater, NJ 07020	Name of Employer n/a	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00
Occupation	Aggregate Year-to-Date > \$		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
Full Name, Mailing Address and ZIP Code John M. Horvath, Jr. 835 Mix Ave Apt 411 New Haven, CT 06514-2113	Name of Employer n/a	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00
Occupation	Aggregate Year-to-Date > \$		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
Full Name, Mailing Address and ZIP Code Connecticut Republicans-Federal- 97 El St Hartford, CT 06106-1664	Name of Employer n/a	Date (month, day, year) 10/27/00	Amount of Receipt this P 5,000.00
Occupation	Aggregate Year-to-Date > \$		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
Full Name, Mailing Address and ZIP Code Diabes Bros., Inc.	Name of Employer n/a	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00
Occupation	Aggregate Year-to-Date > \$		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
Full Name, Mailing Address and ZIP Code Rudy Pizzoferrato 81 Chevas Rd Avon, CT 06001	Name of Employer n/a	Date (month, day, year) 10 / / 00	Amount of Receipt this P 1,000.00
Occupation	Aggregate Year-to-Date > \$		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			
Full Name, Mailing Address and ZIP Code John F. Barry 115 W. Court Newington, CT 06111	Name of Employer n/a	Date (month, day, year) 10/27/00	Amount of Receipt this P 1,000.00
Occupation	Aggregate Year-to-Date > \$		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):			



SCHEDULE A

ITEMIZED RECEIPTS

0020180700

Use separate schedule(s)  
for each category of U.S.  
Detailed Summary Page

PAGE

FOR LI

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for other purposes, other than giving the name and address of any political committee to solicit contributions from such committee

## NAME OF COMMITTEE (In Full)

Giordano Congressional Explanatory Comm.

<b>A. Full Name, Mailing Address and ZIP Code</b> Darren S. Lehman 171 River Dr. Monticello, N.J. 07746 Receipt For: <input type="checkbox"/> Other (specify) <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b> Jeffrey Matthews Financial Group <b>Occupation</b> Fin. Manager <b>Aggregate Year-to-Date</b> > \$ 250.00	<b>Date (month, day, year)</b> 6/26/00	<b>Amount Received</b> 2.
<b>C. Full Name, Mailing Address and ZIP Code</b> Edward Bushka 461 Oronoke Rd. Wtby. CT 06708 Receipt For: <input type="checkbox"/> Other (specify) <input type="checkbox"/> Primary <input type="checkbox"/> General	<b>Name of Employer</b> Self/Bushka Lumber <b>Occupation</b> Owner <b>Aggregate Year-to-Date</b> > \$ 500.00	<b>Date (month, day, year)</b> 6/26/00	<b>Amount Received</b> 500.
<b>C. Full Name, Mailing Address and ZIP Code</b> Michael Pielsza Jr. 44 Arnold St. Wtby. CT 06708 Receipt For: <input type="checkbox"/> Other (specify) <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b> City of Wtby <b>Occupation</b> Aide <b>Aggregate Year-to-Date</b> > \$ 1000.00	<b>Date (month, day, year)</b> 6/29/00	<b>Amount Received</b> 100.
<b>D. Full Name, Mailing Address and ZIP Code</b> DK Brooke Cappelletti 8 Ravenwood Dr. Middletown, CT 06762 Receipt For: <input type="checkbox"/> Other (specify) <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b> House wife <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$	<b>Date (month, day, year)</b> 6/24/00	<b>Amount Received</b> 100.
<b>E. Full Name, Mailing Address and ZIP Code</b> Patrick Ariola 213 New Haven Ave Wtby. CT 06708 Receipt For: <input type="checkbox"/> Other (specify) <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b>  <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 250.00	<b>Date (month, day, year)</b> 6/29/00	<b>Amount Received</b> 250.
<b>F. Full Name, Mailing Address and ZIP Code</b> Alphonse Spadaro 100 Bradley Rd. Woodbridge, CT 06525 Receipt For: <input type="checkbox"/> Other (specify) <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b>  <b>Occupation</b>  <b>Aggregate Year-to-Date</b> > \$ 1,000.00	<b>Date (month, day, year)</b> 6/24/00	<b>Amount Received</b> 1,000.
<b>G. Full Name, Mailing Address and ZIP Code</b> James Paulino 245 Anna Ave Wtby. CT 06708 Receipt For: <input type="checkbox"/> Other (specify) <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General	<b>Name of Employer</b> St. of CT <b>Occupation</b> LEE Aide <b>Aggregate Year-to-Date</b> > \$	<b>Date (month, day, year)</b> 6/28/00	<b>Amount Received</b> 1,000.

SUBTOTAL of Receipts This Page (optional)

6,000

TOTAL This Period (last page this line number only)



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

RQ-3

August 9, 2001

Thomas M. Ariola Jr., Treasurer  
Giordano for United States Senate  
P.O. Box 2360  
Waterbury, CT 06724

Identification Number: C00353862

Reference: 12 Day Pre-General (10/1/00-10/24/00) and 30 Day Post-General (10/25/00-11/27/00) Reports

Dear Mr. Ariola:

This letter is to inform you that as of August 8, 2001, the Commission has not received your response to our requests for additional information dated July 17, 2001. These notices request information essential to full public disclosure of your federal election campaign finances. To ensure compliance with the provisions of the Federal Election Campaign Act (the Act), please respond to these requests (copies enclosed).

An adequate response must be received at the Commission by August 29, 2001. Adequate responses received on or before this date will be taken into consideration in determining whether audit action will be initiated. Requests for extensions of time in which to respond will not be considered. Failure to provide an adequate response by this date may result in an audit of the committee. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action.

If you should have any questions regarding this matter, please contact Michael Young on our toll-free number (800) 424-9530 (at the prompt press 1, then press 2 to reach the Reports Analysis Division) or our local number (202) 694-1130.

Sincerely,

A handwritten signature in dark ink, appearing to read "John D. Gibson".

John D. Gibson  
Assistant Staff Director  
Reports Analysis Division

Enclosures

26044130784

SECRETARY OF THE SENATE

01 JUL 23 AM 10:43

July 17, 2001

Secretary of the State  
232 HCA Senate Office Building  
Washington, DC 20510

RE: Giordano for US Senate  
COU353862

Dear Sir:

In response to your letter dated July 3, 2001:

Finding 1

- The copy of the check deposited was cut off at the top leaving the name unidentified. We have done our research and identified the contributor as David Green, Accountant, of Massapequa, NY 11758. We placed Vanguard Coverage Operation in Receipts only to record receipt until research was done. We will amend report.
- We have also corrected the over contribution of Louis M. Sachs. This contribution was made by his wife, Carolyn Sachs, of the same address, and we will amend the report to reflect this.
- We have also corrected the check for Sovereign Bank of New England. This is another case where the check copy was given to the deputy treasurer with the top inadvertently not copied. We reported the Bank name only. The contributor is Tony D'Ambrosio, Banker, 14 Field Daisy Lane, East Northport, NY 10079. This will be amended.

Finding 2

We had sent out this letter attached and followed up with telephone calls of all the people who did not respond. Most of these telephone attempts resulted in messages left on answering machines. All of these attempts are documented and copies kept on file by staff.

Other Findings

We will file amended reports for the discrepancies found on page four of your memo immediately.

Very truly yours,

Thomas M. Ariola, Jr.



**Philip A. Giordano**  
for  
**United States Senate**

SECRETARY OF THE SENATE

01 JUL 23 AM 10:43

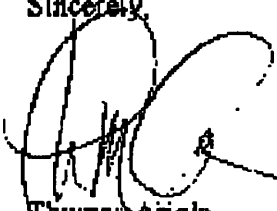
Dear Friend:

Thank you so much for the generous contribution to the *Giordano for U.S. Senate* Campaign. Being able to count on support from people like you is what energizes this campaign. I would ask that you do one small favor for me. In accordance with federal campaign law, donors must complete a donor card. The information provided will be used to complete federal financial disclosure documents only and will not be used for any other purpose.

Please complete and mail the attached information card as soon as possible.

Thank you for your assistance in this very important matter.

Sincerely,

  
Thomas Ariola  
Deputy Treasurer,  
Giordano for U. S. Senate

P.O. Box 2360, Waterbury, CT 06724  
(203) 757-9984 • fax (203) 756-8397  
[www.giordano2000.com](http://www.giordano2000.com)

Print for Mr. The Giordano for United States Senate Committee Michael Blumenthal



Name of Committee (in Full)

Giordano for U.S. Senate

A. Full Name, Mailing Address and ZIP Code of Loan Source <b>Patriot National Bank 900 Bedford Street Stamford, CT 06901</b>		Original Amount of Loan <b>300,000.00</b>	Cumulative Payment To Date	Balance Outstanding at Close of This Period <b>299,926.00</b>
Election: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify):				
Terms: Date Incurred _____ Date Due _____ Interest Rate _____ % (april)		<input type="checkbox"/> Secured		
List All Endorsers or Guarantors (if any) to Item A				
1. Full Name, Mailing Address and ZIP Code		Name of Employer		
		Occupation		
		Amount Guaranteed Outstanding: \$		
2. Full Name, Mailing Address and ZIP Code		Name of Employer		
		Occupation		
		Amount Guaranteed Outstanding: \$		
3. Full Name, Mailing Address and ZIP Code		Name of Employer		
		Occupation		
		Amount Guaranteed Outstanding: \$		

B. Full Name, Mailing Address and ZIP Code of Loan Source		Original Amount of Loan	Cumulative Payment To Date	Balance Outstanding at Close of This Period
Election: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify):				
Terms: Date Incurred _____ Date Due _____ Interest Rate _____ % (april)		<input type="checkbox"/> Secured		
List All Endorsers or Guarantors (if any) to Item B				
1. Full Name, Mailing Address and ZIP Code		Name of Employer		
		Occupation		
		Amount Guaranteed Outstanding: \$		
2. Full Name, Mailing Address and ZIP Code		Name of Employer		
		Occupation		
		Amount Guaranteed Outstanding: \$		
3. Full Name, Mailing Address and ZIP Code		Name of Employer		
		Occupation		
		Amount Guaranteed Outstanding: \$		

SUBTOTALS This Period This Page (optional) \_\_\_\_\_

TOTALS This Period (last page in this line only) \_\_\_\_\_

Carry outstanding balance only to LINE 3, Schedule D, for this line. If no Schedule D, carry forward to appropriate line of Summary.